

The Department of Ophthalmology
The Ohio State University College of Medicine

Pattern of Administration
And
Workload Policy

March 2009

I. Introduction

This document provides a brief description of the Department of Ophthalmology as well as a description of its policies and procedures. It supplements the Rules of the University Faculty and other policies and procedures of the University to which the department and its faculty are subject. The latter rules, policies and procedures, and changes in them, take precedence over statements in this document.

This Pattern of Administration is subject to continuing revision. It must be reviewed and either revised or reaffirmed on appointment or reappointment of the departmental chair. However, the college office and the Office of Academic Affairs may make revisions at any time subject to approval.

II. Department Mission

The primary mission of the Department of Ophthalmology falls under four main areas -- education, research, patient care, and service.

Education -- The educational responsibilities of the Department include education of medical students, post-graduate (medical and non-medical degree) students, fellows, and practicing physicians.

Research -- To make contributions to the advancement of the fund of knowledge in the field of Ophthalmology. Translational research is a major component of the mission of the department.

Patient Care -- To provide moral and ethical patient care of the highest quality at all times.

Service -- To perform service to the Medical School, the University, and the community at large by participation of department members in the broad area of the departmental mission.

III. Faculty

For decision making purposes, voting members of the department faculty are those members with tenure, those who are untenured and hold a tenure-track appointment, and members holding a regular clinical track position with appointments requiring 50% or more service to the department.

Auxiliary faculty includes:

1. Regular faculty and regular clinical faculty holding appointments requiring less than 50% service to the department.
2. Persons holding adjunct or clinical titles.
3. Persons holding special appointments.

Auxiliary faculty has no formal vote, they may be invited to faculty meetings and their participation may be solicited in departmental discussions.

IV. Overview of Departmental Administration and Decision Making

Policy and program decisions are made in a number of ways: by the department faculty as a whole, by standing committees of the department, or by the chair. The nature and importance of any individual matter determines how it is addressed. Department governance proceeds on the

general principal that the more important the matter to be decided, the more widespread the agreement on a decision needs to be. Open discussions, both formal and informal, constitute the primary means of reaching consensus on decisions of central importance.

V. Department Administration

The Chairperson

The duties of the chair of the department shall be as follows:

- 1) To have general administrative responsibility for the Department subject to the approval of the Dean of the College of Medicine.
- 2) To develop, in consultation with the faculty, a pattern of administration. This pattern of administration shall be made available to all present and prospective members of the faculty of the department and a copy shall be deposited in the Office of the Dean of the College of Medicine and the Office of the Executive Vice President and Provost. For purposes of defining minimum content the chair shall be required:
 - (a) To provide a schedule of all regular faculty meetings to all faculty members
 - (b) To maintain minutes of all faculty meetings and to maintain records of all other actions covered by the pattern of administration
 - (c) To consult with the faculty as a whole on all policy matters, and that such considerations, whenever practicable, be undertaken at a meeting of the faculty as a whole
 - (d) To recognize in principal the presumption favoring majority

faculty rule on all matters covered by the pattern of administration. Whenever majority faculty rule is not followed, the chair shall explain the reason(s) for the departure in order to enhance communication and to facilitate understanding within the department. Where possible this statement of reason(s) shall be provided before the departure occurs. This explanation shall outline the decision of the majority of the faculty, the decision of the chair, and the reason(s) the decision differ. The explanation shall be communicated to the faculty in writing, where possible, or at a faculty meeting, with an opportunity provided for the faculty to comment.

- (e) To consult with the faculty in the initiation and in the review and selection of new faculty members for appointment.
 - (f) The chair shall establish a policy governing the equitable assignment of instructional, scholarly, and service activity appropriate for each faculty member to meet the stated mission of the department. The assignment of duties and responsibilities is ultimately the responsibility of the chair; however, division and section directors are to be consulted. The chair will convene on an annual basis a meeting with each regular faculty member to establish the expected level of performance in the three areas of the workload policy. The expected level of instructional, scholarly, and service activity assigned to the faculty member should take into consideration all factors specific to the individual faculty member and should be arrived at by mutual agreement. Any disagreement between the chair and the faculty member shall be resolved as provided for in the department's grievance procedures. The chair may elect to meet with auxiliary faculty members on an annual or less frequent basis.
- 3) To prepare, after consultation with the faculty and in accordance with the pattern of departmental administration, a statement setting forth the criteria and procedures by which recommendations are

made concerning faculty appointments and/or dismissals, promotion, promotion in rank, and matters affecting tenure. This statement shall be made available to all present and prospective members of the department and a copy shall be deposited in the Office of the Dean of the College of Medicine and in the Office of the Executive Vice President and Provost. At the beginning of each four-year term of the Chair, the Office of the Dean of the College of Medicine and the Executive Vice President and Provost shall receive either a revision or reaffirmation of the original statement.

- 4) To operate the business of the department with efficiency and dispatch.
- 5) To plan with the members of the faculty and the dean of the college a progressive program.
- 6) To evaluate continuously the instructional and administrative processes and lead in the study of methods of improving them.
- 7) To evaluate faculty members periodically in accordance with criteria approved by the board of trustees and subject to instructions from the senior vice president and provost, and also according to such supplemental criteria as may be set up by the department.
- 8) To inform faculty members when they receive their annual review of their right to review their personnel file maintained by the department and to place in their file a response to any evaluation, comment or other material contained in the file.
- 9) To recommend to the dean of the college, after consultation with the faculty in accordance with paragraph (C)(3)Rule 3335-3-35 appointments, promotions, dismissals, and matters affecting the tenure of members of the department
- 10) To encourage research and educational investigations.

- 11) To see that all faculty, regardless of their assigned location, are offered Departmental privileges and responsibilities appropriate to their rank and, in general, to lead in maintaining a high level of morale.
- 12) To see that adequate supervision and training are given to those members of the faculty and staff who may profit from such assistance.
- 13) To prepare (after consultation with the professors, associate professors, and assistant professors with tenure) annual budget recommendations for the consideration of the dean of the college.
- 14) To promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.

Committees

The standing committees of the Department are: The Appointments, Promotion and Tenure Committee, The Resident Selection Committee, The Space Committee, The Finance Committee, The Research Committee, and The Quality Assurance Committee. Ad hoc committees made are formed at the discretion of the chair.

- A. The Appointments, Promotion and Tenure Committee are composed of at least three regular faculty members. Eligible faculties are tenured members who hold rank higher than that of the candidate under review. If fewer than three faculty members are eligible, additional eligible faculty from a related discipline shall be selected in accordance with procedures described in the department's appointments, promotion and tenure document. The chair of the department shall not be a voting member of the committee. Emeritus

faculty members may not serve on the committee. Appointments, Promotion, and Tenure Committee members are appointed by the chair. In selecting committee members the chair shall take into consideration the need for gender and racial/ethnic diversity. The committee may consist of all eligible members of the faculty or a subset thereof.

The duty of the A, P, & T Committee is to provide the chair with significant consultative input concerning the appointment of faculty and promotion and tenure of existing department faculty, and other related matters in accordance with the department's Appointments, Promotion, and Tenure Document (page 23-24).

- B. The Resident Selection Committee is composed of the chairperson and two regular faculty members of any rank selected by the department chair. Additional committee members may be selected by the committee chair in consultation with the department chair. The committee organizes and conducts interviews and makes the final decision on which candidates are to be recommended to the chair to be offered a residency position.
- C. The Space Committee is composed of two or more regular faculty members of any rank appointed by the chair. The committee will maintain an accurate record of all space assignments within the department and assist the chair in assigning and reassigning space to support the mission of the departmental faculty and staff.
- D. The Finance Committee is appointed by the chair and should be selected from senior faculty members. The committee will be advisory to the chair on all fiscal matters except for decisions concerning faculty salary, which is the responsibility of the chair.

- E. The Research Committee is appointed by the chair and is selected from faculty members who are actively involved in both clinical and bench research. The committee will monitor research activity in the department, make recommendations to the chair in the assignment of research space, and assist faculty, residents, fellows, and students in organizing and conducting research projects. This committee will maintain current information on developing grant proposals and provide assistance to faculty in developing and submitting competitive grant applications locally and to extramural sources.
- F. Quality assurance for the department is the responsibility of the Chair. The Chair may elect to appoint a committee. The committee is responsible for maintaining an ongoing assessment of the quality of care provided to patients by members of the department and to document outcome results for both inpatient and outpatient treatment. Results of the committee evaluation are to be reported to the faculty at every other regularly scheduled faculty meeting and any written report should become part of the faculty meeting minutes.
- G. The Education Committee is composed of the chairperson, site directors, two faculty members, three residents, and the program director. The committee reviews and evaluates the current residency program.

Faculty Meetings

- A) Faculty meetings are scheduled monthly. The chair may elect to call a special meeting when a matter of importance requires faculty consultation. As required by the department's Pattern of Administration, minutes will be maintained of all faculty meetings, and records will be maintained of any other actions covered by this statement of administrative policy. Faculty members are informed of all faculty meetings by mail to their office address and when possible the agenda is included in the

notice.

- B) The agenda is developed by the chair but any faculty or staff member may request that an item be included.
- C) A quorum is constituted when a majority of the faculty eligible to transact business and vote are present.
- D) A majority vote of those eligible faculty assembled at a scheduled faculty meeting is required to approve those matters on which a vote is taken.

VI. Department Faculty Teaching Load Policy

The individual faculty member's teaching load is determined by the chair in consultation with division directors. The chair has the ultimate responsibility to determine the balance in teaching required to meet the needs of the department. Teaching load assignments will be differential in accordance with the previous year's assessment. Since the department offers little formal classroom instruction, variations in instructional activity are balanced by the amount of contact time each faculty member has with assigned students and residents in their daily activity and involvement in other scholarly activity.

VII. Policy on Faculty Duties and Responsibilities

The Department has a policy for the equitable assignment and distribution of faculty duties and responsibilities and is part of the department's Pattern of Administration and Workload Policy.

The Department chair is responsible for assuring that every faculty

member has duties and responsibilities commensurate with his or her appointment and that departmental workload is distributed equitably among faculty. While faculty are expected to exercise self-determination in conducting their research or other scholarly activity, the chair assigns teaching and in most cases departmental services. In making these assignments the chair must balance the needs of the department with the preferences of the faculty member within the context of the department's policy on faculty duties and responsibilities.

- 1) The department shall have a written workload policy which establishes expected levels of instructional, scholarly, and service activities for the average or benchmark faculty member. Overall workload expectations should ensure a balance of faculty time and effort spent in teaching, research, and service. The mission of the department will determine the relative balance desired. Achievement of the balance for the department, through the assignment of duties to individual faculty is the responsibility of the chair. Many faculty members voluntarily take on a variety of professional activities that fall outside the department's policy on faculty duties and responsibilities. These activities often benefit the department or the University and, to the extent possible, should be taken into account in considering a faculty member's total workload. When a faculty member seeks relief from departmental obligations or request to be absent for any reason a leave of absence form must be submitted and approved by the chair.
- 2) Instructional activity includes but is not limited to teaching formal courses, the teaching and supervision of medical students, postgraduate (medical and non-medical degree) students, residents, fellows, and practicing physicians (See Mission, Pattern of Administration).
- 3) Service activity includes administrative work for the

department, college, University Hospitals, or University, participation in professional organizations, professional consultation, and service to local, state, national, and international communities.

4) Scholarly activity includes the production of new knowledge or creative work, creative writings, or the development of new instrumentation or techniques.

5) Any disagreement between the chair and the faculty member related to faculty duties and responsibilities shall be resolved as provided for in the Department of Ophthalmology Pattern of Administration XI (3).

6). Workload activities for each faculty member shall include:

A) Participation in instructional activity with medical students, residents, fellows, and practicing physicians.

Minimum requirements are:

1. At least four months of medical students assigned as part of ophthalmology clinical clerkship or Med III/IV, or

2. At least six months of assignment of ophthalmology residents to subspecialty rotation, or

3. At least six months of consultation service for ophthalmology resident clinic.

B. Participate in a minimum of twelve departmental Grand Rounds yearly.

C. Serve on at least one major College of Medicine or

Hospital Committee each year.

- D. Present at least one formal lecture at a local or national conference or meeting each year.
- 7) Departures from the average benchmark levels of instructional, scholarly, and service activity will be taken into consideration relative to promotion and tenure and salary determinations.
- 8) Faculty participation in the development of, or changes in, departmental workload policies shall be allowed and encouraged as provided for in Department Pattern of Administration (VII-1).

Fluctuations in demands and resources in the department may warrant temporary deviations from the agreed on assignments. The above policies established by the chair and faculty as they relate to workload do not constitute a contractual agreement.

VIII. Allocations of Department Resources

Space

The chair will make space assignments in consultation with the space committee and the faculty considering primarily the principal of proximity of faculty members to their primary area of activity related to patient care and teaching. Space for staff support will be located, whenever possible, to facilitate close interaction with faculty and patients. In allocating space, an attempt will be made to provide each faculty or section with adequate space for resources necessary to conduct their assigned duties.

Research space will be assigned and reassigned by the chair with the following priorities:

- 1) Faculty with research funded by grants or contracts administered through the OSU Research Foundation.
- 2) Faculty members with research funds from other sources, e.g., gifts, development funds, department enrichment funds, OSU internal grants, etc.
- 3) New faculty with research interests.
- 4) Faculty members with funding in the past 2 years.
- 5) Other faculty and departmental projects.

The chair will determine the policies governing allocation of release time funds to the principal investigator, the department, and the college in accordance with existing requirements.

Fiscal

Annually, the chair in consultation with the Dean, will ascertain available departmental and college funds and will make decisions on an equitable allocation of these funds to support the various needs of the department.

Salary increases and rewards will take into consideration faculty member's performances in advancing the mission of the department, college, and university. At annual budget time each faculty is requested to provide the chair with a ranking of his/her performance. Decisions on recommending salary increases are made based on the chair's annual review of the faculty member and the ranking submitted. The chair's recommendation for salary increase is transmitted to the dean's office for approval.

Faculty who believe their University base salary is inequitable should refer to http://oaa.osu.edu/OAAP_PHandbook.php for

information about appeals processes.

IX. Leaves and Absences

Ordinary leave of absence by a faculty requires that a leave of absence form be submitted to the chair for approval. The chair will take into consideration the length of time requested and the effect the leave will have on the faculty member's duties and responsibilities before approval. Paid sick leave should be used before a leave of absence is granted for illness.

An unpaid leave of absence may be requested for personal or professional reasons. Leaves of absence are not granted to untenured faculty in their terminal year of employment or to faculty who have accepted a new position. Unpaid leave of absence must be approved by the chair, dean of the college, Office of Academic Affairs, and the Board of Trustees. The information provided below supplements these policies.

- A. **Discretionary Absence.** Faculty are expected to complete an Application for Leave form well in advance of a planned absence (e.g. as for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular quarter is substantial. Faculty Rules require that the Office of Academic Affairs approve any discretionary absence of ten or more days.

- B. **Absence for Medical Reasons.** When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. See OAA Policies and Procedures Handbook for details.
- C. **Unpaid Leaves of Absences.** A faculty member may request an unpaid leave of absence for personal or professional reasons. Professional reasons would include an opportunity to accept a visiting appointment at another institution. A faculty member desiring an unpaid leave of absence should submit a written request for the absence as far in advance as possible of the time for which the leave is desired. Approval will be based on, but not limited to, the nature of the request, the extent to which the faculty member’s responsibilities can be covered or deferred during the proposed absence, and the positive or negative impact on the department of the proposed absence. Unpaid leaves of absence require the approval of the dean, Office of Academic Affairs, and Board of Trustees.
- D. **Special Research Assignments.** SRAs are normally one quarter in length and are designed to provide a faculty member time away from classroom teaching and some other responsibilities in order to concentrate effort on research. SRAs are usually, but necessarily, provided to faculty to develop a new research skill,

initiate a new project, or complete an ongoing project. SRAs of shorter duration may be provided for such purposes as facilitating travel related to research that is less than a quarter in duration but more than a week or two provided classroom teaching is not disrupted.

Untenured faculty will normally be provided an SRA during their probationary period. Reasonable efforts will be made to provide SRA opportunities to all productive faculty on a rotating basis subject to the quality of faculty proposals, including their potential benefit to the department, and the need to assure that sufficient faculty are always present to carry out department work.

Faculty members who desire an SRA should discuss the matter with the chair during annual evaluation or as soon thereafter as possible. The chair will indicate whether submission of a full proposal articulating the purpose and nature of the SRA is appropriate. The chair will normally announce decisions regarding SRAs for the next academic year no later than June 30 of the previous academic year, but retains the option of making decisions regarding proposals at other times when circumstances warrant such flexibility.

- E. Faculty Professional Leave. A Faculty Professional Leave constitutes a more formal departure from regular academic duties than a Special Research Assignment and may be one, two or three quarters in length for 9-month faculty and one, two, three, or four quarters in length for 12-month faculty. FPLs involve salary reductions and other considerations established by the Ohio legislature and University Board of Trustees and faculty considering an FPL should fully acquaint

themselves with these policies before applying for leave.

Faculty members who desire an FPL should discuss the matter with the department chair during their annual evaluation or as soon thereafter as possible. The department chair will indicate whether submission of a full proposal articulating the purpose and nature of the FPL is appropriate. Because FPL proposals must be approved by the dean, Office of Academic Affairs, and Board of Trustees before they may be implemented, faculty should submit FPL proposals for a particular year no later than the end of Autumn Quarter of the preceding year, except when the development of an unexpected opportunity precludes such timing.

The chair's recommendation to the dean regarding an FPL proposal will be based on the quality of the proposal and its potential benefit to the department and to the faculty member as well as the ability of the department to accommodate the leave at the time requested.

X. Supplemental Compensation and Paid External Consulting Activity

The University's policies with respect to supplemental compensation and external consulting are set forth in the Office of Academic Affairs Policies and Procedures Handbook.

The Department of Ophthalmology adheres to the university policy on paid external consulting. The purpose of this policy is to establish guidelines and reporting requirements for paid consulting external to the university that is undertaken by faculty members, and

that is related to their areas of professional expertise. These include external professional activities that reflect normal and expected public service activities of faculty and that do not entail compensation beyond reimbursement for expenses and/or a nominal honorarium. These activities include service to government agencies and boards such as peer review panels and advisory bodies to other universities; presentations to either professional or public audiences in such forums as professional societies, libraries, and other universities; and peer review activities undertaken for profit or nonprofit publishers. Included are health care activities that are explicitly covered by approved practice plans.

Faculty members are encouraged to engage in paid external consulting to the extent that these activities are clearly related to the mission of the university, and the department, and the expertise of the faculty member, provide direct or indirect benefits to the university and department, and do not entail a conflict of interest as defined in the University Conflict of Interest Policy.

A faculty member must complete the Paid External Consulting Approval Form for each consulting arrangement. All absence from duty of one full business day or more resulting from consulting, and all absences resulting from consulting that causes a missed commitment requires the prior approval of the chair and the dean.

XI. Financial Conflicts of Interest

The University's policy with respect to financial conflicts of interest is set forth in the Office of Academic Affairs Policies and Procedures Handbook. A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any University duty or responsibility, including designing, conducting or reporting research.

Faculty members are required to file conflict of interest screening forms annually, and more often if prospective new activities pose the possibility of financial conflicts of interest. Faculty who fail to file such forms or to cooperate with University officials in the avoidance or management of potential conflicts will be subject to disciplinary action.

XII. Grievance Procedures

Grievance procedures will follow university processes for their review.

- 1) Medical student grievance will be reviewed first by the department director of student education, and if necessary the chair, the dean of student affairs, and finally by the dean of the college.
- 2) Staff grievance will normally be referred to the department chief administrator if not resolved at the section unit level. If not resolved through the departmental chief administrator, then the matter will be referred to the department chair. Instances of sexual harassment must be reported to the chair or to the appropriate office in university human resources.
- 3) Faculty grievances related to a number of issues including salary, space assignment, teaching assignment, promotion and tenure, annual review evaluation, and other related faculty issue are first reviewed by the chair, and if necessary the dean, and the Office of Academic Affairs. Any unresolved issue may be referred to the University Provost for advice.
- 4) Known instances of academic or scientific misconduct must be

reported to the chair, the dean, and the Office of Research.

- 5) **Faculty Misconduct/Incompetence.** Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in the Faculty Rules and can be found at <http://trustees.osu.edu/index.php>.
- 6) **Faculty Promotion and Tenure Appeals.** Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05 <http://trustees.osu.edu/index.php>.
- 7) **Sexual Harassment.** The University's policy and procedures related to sexual harassment are set forth in OHR Policy 1.15 <http://hr.osu.edu/policy/policy115.pdf>

History of this Document

This document was accepted and approved by the Department of Ophthalmology faculty on May 25, 1989. It was returned by the Office of Academic Affairs on June 23, 1989. Academic Affairs requested that we include additional provisions as outlined in Faculty Rule 3335-3-35.

The revised document was presented to the faculty on November 30, 1989 and approved. Academic Affairs approved the revised document on December 18, 1989.

On July 15, 1993 the faculty approved the Faculty Workload Policy **as an addendum** to the Patterns of Administration.

On October 29, 1993, Dr. Ron St. Pierre communicated that Academic Affairs requested that the Faculty Workload Policy needed to be revised to include minimum and maximum percentage assignments under the area of instruction.

The Faculty Workload Policy was again revised and presented to the faculty for a vote on November 4, 1993. The policy was approved by the faculty.

On October 8, 1993, the Provost requested an update of the Patterns of Administration and the Criteria for Promotion, Tenure and Salary Increase documents. This was requested to comply with the Faculty Rule that after reappointment of a chair, these documents should be presented to the faculty for consultation.

The Patterns of Administration document was revised and approved by the faculty on August 17, 1995.

The Patterns of Administration document was reaffirmed by the Ophthalmology faculty at a meeting held on August 14, 1997.

The Pattern of Administration document was approved by the Ophthalmology faculty at a meeting held on September 7, 2000.

The document was returned for revision on October 11, 2000

This document was revised and approved by the faculty at a meeting held on December 8, 2000.

The document was returned for revision on January 16, 2001

This document was reviewed and revised on September 19, 2002.

This document was revised and approved by the Ophthalmology Faculty at our monthly meeting on October 5, 2006.

This document was returned by Academic Affairs for revisions. These were accomplished and presented to Faculty Members for approval on November 2, 2006.

This document was approved with the revisions by the Ophthalmology Faculty at our monthly meeting on November 2, 2006.

This document was reviewed and reaffirmed by the Ophthalmology Faculty at a meeting held on November 13, 2008.

This document was returned by the Office of Academic Affairs for revisions on December 17, 2008.

This document was approved with the revisions by the Ophthalmology Faculty at our monthly meeting on March 12, 2009.