

GUIDELINES

For Pattern of Administration

Department of Otolaryngology-Head and Neck Surgery
College of Medicine
The Ohio State University

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I. INTRODUCTION

This document provides a brief description of the Department of Otolaryngology-Head and Neck Surgery 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 is reviewed and either revised or reaffirmed on appointment or reappointment of the Department Chair. All revisions are subject to approval by the College Office and the Office of Academic Affairs.

II. DEPARTMENT OF OTOLARYNGOLOGY-HEAD AND NECK SURGERY MISSION

The primary mission of the Department of Otolaryngology-Head and Neck Surgery 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 Otolaryngology-Head and Neck Surgery. Translational research is a major component of the mission of the Department.

Patient Care – To provide the highest quality of patient care at all times. To incorporate the highest standards of moral and ethical principles into the care of our patients.

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

III. FACULTY

As used in this document, the term "faculty" shall include persons appointed by the Board of Trustees with Tenure Track Faculty, Clinical Faculty, Research Faculty, Associated Faculty and Emeritus Faculty titles for full or part-time appointments, with or without salary.

- "Tenure Track Faculty", "Clinical Faculty", "Research Faculty" and "Associated Faculty" : persons with the titles of professor, associate

professor, assistant professor, and instructors who serve on appointments totaling fifty percent or more service to the Department.

- "Adjunct Faculty": persons with adjunct titles, clinical titles, lecturers, also professors, associate professors, assistant professors and instructors who serve on appointments totaling less than fifty percent service to the Department.
- "Emeritus Faculty": persons who, upon retirement, are recommended by the Chair, the Dean, and the Executive Vice President and Provost for emeritus status.
- Voting faculty of the Department include all Tenure Track Faculty, Clinical Faculty and Research Faculty.

IV. OVERVIEW OF DEPARTMENTAL ADMINISTRATION & DECISION-MAKING

Policy and program changes can be introduced in a number of ways: by department faculty either individually or collectively, by departmental standing or special committees, or by the Chair. The nature and importance of each matter will determine the procedure to be followed. Matters of the most general importance are usually ultimately decided by majority approval of the departmental faculty. Matters of lesser importance or of a more specific nature are decided by the Chair after advice from individual faculty and/or departmental committees as deemed necessary by the Chair. Any such matters and related decisions can be discussed for review in the departmental meetings. These issues can be placed on the agenda by the Chair, a committee, or members of the faculty and/or staff. Open and widely shared discussions, both more formal and less formal, constitute the primary vehicle for reaching agreement on basic decisions.

V. DEPARTMENT ADMINISTRATION

CHAIR

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 tenure track, clinical and research 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 tenure track, clinical and research 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 Associated 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 Departmental Strategy for success.
- 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

Standing committees, special committees, task forces, etc. will be created and faculty assigned to them to meet Department needs. The selection of faculty to serve on these assignments shall consider factors such as expertise, interest, workload, and the diversity of interest within the Department. Faculty duties and assignments shall be reviewed and evaluated annually by the Chair to insure that assignments are distributed equitably.

Appointments: Appointments to standing committees and the appointment of the Chairs of these committees shall be made by the Chair of the Department. Appointees shall be advised of committee objectives by the Department Chair. A current list of committee appointments shall be provided to each faculty member.

Term of Office: In order that committee responsibilities may be shared by the Department faculty, the normal term of office shall be for a minimum of two years beginning on July 1 of the academic year of appointment. A faculty member shall be eligible for reappointment to the same committee. The normal term of office may be adjusted as necessary to enhance the effectiveness of the committee.

Meetings: Each standing committee shall meet upon the call of the committee Chair or upon petition of two committee members.

Objectives of Standing Department Committees:

- A. Appointments, Promotion and Tenure Committee – Is a standing committee of the Department. It is charged with providing the Department Chair with significant consultative input concerning the promotion and tenure of existing Department faculty, and several related matters. In the context of its evaluation of candidates for promotion and tenure, the committee is responsible for preparing the case of each candidate for presentation to the eligible faculty, and for preparing a letter for the Department Chair which summarizes the eligible faculty's assessment of the candidate's teaching, scholarship and service efforts.
- B. Executive Committee – Meets monthly and is comprised of the Department Chair, Division Directors and Administrator. Reviews the Department's overarching operations and finances.
- C. Education Committee - Reviews the medical student and resident curricula and makes recommendations to the Chair and faculty for curriculum changes and/or more efficient teaching practices. The committee is also involved in the resident selection process.
- D. Research Committee - Reviews research protocols and/or proposals submitted by junior staff and faculty for possible internal funding or use of laboratory space. Recommendations are made to the Chair for implementation.
- E. Quality Improvement Committee - Reviews clinical practice activities; assesses outcomes as measure of quality of care, reviews clinical protocols. Recommendations are made to the Chair and faculty.
- F. Patient Satisfaction Committee - Meets quarterly and is comprised of various Department faculty and staff involved in patient care. The committee reviews recent patient satisfaction data for the previous quarter. The committee discusses ideas and projects within the Otolaryngology clinic sites that can improve the patient experience from scheduling the patient visit to the actual provider visit.
- G. Workplace of Choice Committee - Meets monthly and is comprised of various Department faculty and staff. This committee is dedicated to creating an environment where employees want to work and have long-lasting careers in the Department by supporting employee engagement,

obtaining feedback, increasing communication, developing internal programs and arranging social events for employees.

- H. Committee on Alumni Affairs - Fosters good relationships among alumni and between the alumni and the Department.

Each committee, in consultation with the Chair, establishes operating procedures consistent with the committee's subject matter and its composition, and in accordance with the rules of the Department and the University.

FACULTY MEETINGS

Meetings of the Department faculty shall be held not less frequently than once every three months during the calendar year.

Special faculty meetings may be called by the Chair providing that a written announcement, including the agenda, is distributed to all voting faculty members at least one week in advance. Upon petition of at least 20% of the voting faculty, the Chair shall call a special faculty meeting.

The Chair shall maintain the minutes of all faculty meetings and the records of all other actions covered by the Pattern of Departmental Administration.

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.

FACULTY COUNCIL

The Department representative to the Faculty Council will be elected by the vote of the eligible faculty as described here. Each department has one (1) voting representative and one (1) alternate for the first forty-nine (49) faculty and one (1) additional representative (and alternate) for each one to fifty (1-50) additional faculty. The Department Chair and directors who hold tenure track, clinical and research faculty appointments may vote for the representative of the department, but may not serve on the Faculty Council. The Department Representative ordinarily serves a three-year (3) term. However, the Representative can be replaced at any time by the voting process outlined below. The Representative is not eligible to be nominated for more than two (2) consecutive three-year terms.

The Representative and the alternate will be elected by a simple majority vote of the eligible faculty. The nominations can be made by any eligible faculty including self-nomination. The Department will provide the means, including electronic voting or other methods, so that every eligible faculty has the opportunity to participate. To ensure that the Representative is elected by a true majority, absence of a vote by any eligible faculty will count as a vote against the nominee.

The eligible faculty for both voting for and serving as the Representative or the alternate are:

Tenure Track Faculty with 50% or more appointments

Clinical Faculty with 50% or more appointments
Research faculty with 50% or more appointments

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 & RESPONSIBILITIES

Faculty teaching responsibilities are covered in Sections VI and VIII of this document. In addition, members of the Tenure Track Faculty should have at least two peer-reviewed scholarly submissions, either journal articles or grant proposals, annually. Members of the Clinical Faculty should submit at least one scholarly article to include a case review or review article, annually.

Members of the Department holding a Ph.D. degree who are actively involved in basic research will mentor at least one graduate student each year. Graduate students are to include medical students, house officers in otolaryngology, subspecialty fellows, or students pursuing an M.S. or Ph.D. degree. Members of the Tenure Track Faculty should have at least four peer-reviewed scholarly submissions, either journal articles or grant proposals, annually.

All faculty are expected to participate in Department, College of Medicine and/or University Medical Center, and/or University governance.

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 otolaryngology clinical clerkship or Med III/IV, or
 2. At least six months of assignment of otolaryngology residents to subspecialty rotation, or
 3. At least six months of consultation service for otolaryngology 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.

VIII. ALLOCATION OF DEPARTMENT RESOURCES

SPACE

The Department Administrator will make space assignments in consultation with 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.

IX. ORGANIZATION OF DEPARTMENTAL SERVICES

The Chair is responsible for the organization of services in the Department. In addition to the administrative roles of the chairs of the committees, other services are organized as follows:

- 1) Administrative support for the faculty.
- 2) The Chair and/or his/her delegate is responsible for the assignment of administrative support staff for the faculty.

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.

A departmental budget will be formulated annually. The budget will be compiled by the Chair with input from the faculty and administrative staff. This budget will include personnel (faculty, administrative support) and operating expenses.

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.

X. LEAVES & ABSENCES

Ordinary leave of absence by a faculty requires an eLeave 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 Absences

Faculty are expected to complete a travel request or submit an eLeave form well in advance of a planned absence (e.g., 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 Dean 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 semester or term is

substantial. *Rules of the University Faculty* require that the Office of Academic Affairs approve any discretionary absence longer than 10 consecutive business days (Faculty Rule 3335-5-08, <http://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>) and must be requested at <https://eleave.osu.edu/>.

B. Absence for Medical Reasons

When absences for medical reasons are anticipated, faculty members are expected to complete an eLeave form as early as possible. When such absences are unexpected, the faculty member, or someone representing the faculty member, should let the Chair know promptly so that instructional and other commitments can be covered. 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. For additional details see OHR Policy 6.27, www.hr.osu.edu/policy/index.aspx.

C. Unpaid Leaves of Absence

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR Policy 6.45, <http://hr.osu.edu/public/documents/policy/policy645.pdf>.

D. Special Assignments

SAs are normally one semester 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, service or teaching endeavors or invest in a relatively brief professional development opportunity. SAs are usually, but not necessarily, provided to faculty to develop a new research skill, initiate a new project, or complete an ongoing project. SAs 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 SA during their probationary period. Reasonable efforts will be made to provide SA 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 SA 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 SA is appropriate. The Chair will normally announce decisions regarding SAs 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.

Units pay full salary to the faculty member during the SA. It is generally inappropriate to supplement compensation from general funds during an SA. Since the faculty member is not on leave, but rather on full-time duty with the

University during an SA, s/he is not permitted to receive compensation from another institution other than approved paid external consulting.

E. Faculty Professional Leave

A Faculty Professional Leave constitutes a more formal departure from regular academic duties than a Special Assignment and may be one or two semesters in length for 9-month faculty and one, two, or three semesters in length for 12-month faculty. Faculty members on leave for two semesters must also complete the STRS Notification of Professional Leave of Absence Form. 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 at least two months prior to the start of the proposed leave 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.

XI. 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 Otolaryngology-Head and Neck Surgery 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.

XII. 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.

XIII. GRIEVANCE PROCEDURES

Grievance procedures will follow University processes for their review.

- 1) Medical student grievance will be reviewed first by the Education Committee, 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 Administrator if not resolved at the section unit level. If not resolved through the Departmental Administrator, then the matter will be referred to the Department Chair. Instances of sexual harassment must be reported to the Chair and 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 issues 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 Misconduct.** The University's policy and procedures related to sexual harassment are set forth in OHR Policy 1.15,
<https://hr.osu.edu/public/documents/policy/policy115.pdf>

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