Pattern of Administration
for
The Ohio State University
College of Medicine
Department of Orthopaedics

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I. Introduction

This document provides a brief description of the Department of Orthopaedics 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 must be reviewed and either revised or reaffirmed on appointment or reappointment of the Department Chair. In keeping with Faculty Rule 3335-3-35(C)(2), within the first year of their appointment or reappointment, the department chair shall review the Pattern of Administration in consultation with the faculty. Any revisions shall be made with broad faculty input, obtained in a manner consistent with the department's established practices and procedures. Faculty input will be sought by distribution of proposed changes via email for review followed by discussion at a monthly faculty meeting or other forum as designated by the chair. At other times, revisions may be proposed by the chair or recommended to the chair by unit committees or members of the faculty. The process for revision is the same as above. All revisions, as well as periodic reaffirmation, are subject to approval by the College of Medicine Office of Faculty Affairs and the Office of Academic Affairs of the University.

II. Department of Orthopaedics Mission

The mission of the Department of Orthopaedics of The Ohio State University is to improve people's lives through innovation in musculoskeletal research, education and patient care. Working as a team we will shape the future of Orthopaedic medicine by creating, disseminating, and applying new knowledge, and by personalizing health care to meet the needs of each individual.

Orthopaedics, as practiced at The Ohio State University Medical Center and at Nationwide Children's Hospital, is defined as a practice of medicine dealing with but not limited to:

- Provision of the highest quality of Orthopaedics patient care by a medical staff with the highest of qualifications and experience.
- Dedication to the teaching of medical students, residents in Orthopaedics or Podiatry, fellows in any appropriate Orthopaedics subspecialty, and residents and fellows in related disciplines to produce the highest caliber future health care providers.
- Performance of research and scholarly investigation of Orthopaedics problems and the underlying science and engineering in order to identify the causes, treatment, and prevention of Orthopaedics problems.
- Provision of public service to the community in the areas of education, treatment and recovery options.

To achieve this mission, all faculty members are expected to participate in and contribute to the teaching, service, and research goals of the Department in a manner that is consistent with the nature of their faculty appointment. Tenure-track Faculty members are expected to have responsibilities in all aspects of the academic mission, and are expected to have a relative emphasis of their efforts on research or other scholarly accomplishments. Clinical faculty members are also expected to have responsibilities in all aspects of the academic mission, with a relative emphasis on teaching and service. Research faculty members are also expected to have responsibilities in all aspects of the academic mission, with a relative emphasis on research, and service related to the Department's research mission. The Department strives

to enhance the quality of its endeavors by fostering the development and improvement of the faculty members.

The Department members, including both those with medical and graduate degrees, conduct basic and clinical research. Laboratories associated with the Department are active in the instruction of medical students, residents, fellows, and graduate students in research methodology and technique. Departmental research is supported by both internal and external funding. Department members are engaged in collaborative projects with researchers in other Departments of the University and outside of the University. The results of these various efforts are regularly presented at various scientific meetings and symposia, and they are published in books, journals and other media.

Physician members of the Department are active practitioners of Orthopaedics surgery and its associated subspecialties. Members of the Department who are non-physician practitioners engage in practice related to their area of expertise. These faculty members are organized into divisions based upon subspecialties and fellowship programs; these divisions are responsible for providing care to patients whose medical problems are encompassed by the specialty or sub-specialty. The Department strives to maintain a clinical staff with the capability of providing a broad spectrum of surgical and related services, with special expertise in the management of complex and unusual problems in addition to those considered more common.

Department members also participate in the administration and governance of the OSU Medical Center and Nationwide Children's Hospital, the College of Medicine and the University through service as members and officers of various committees. In addition, faculty members serve local, regional and national medical and professional organizations in a variety of volunteer and administrative positions. Faculty members may also serve as members and officers of other charitable and service organizations on a local, regional and national level.

The Department performs regular reassessments of the effectiveness of its efforts in teaching, research and service. A comprehensive evaluation is performed and published as the Department of Orthopaedics Annual Report and as documented in the Pattern of Administration for this Department.

A critical component of the Department mission is the dedication to continuous improvement in the quality of its contributions to the discipline and practice of surgery and its various specialties, and to the provision of personalized health care for all of its patients.

Finally, the Department welcomes ***all*** individuals. We are committed to developing a civil environment where people feel valued, can thrive and excel, can care for themselves and each other, and be free of discrimination, harassment, and mistreatment. Our core values of humility, kindness, honesty, collegiality, wellness, safety, transparency, collaboration, flexibility, and respect guide us in advancing our tripartite mission.

III. Academic Rights and Responsibilities

In April 2006, the University issued a reaffirmation of academic rights, responsibilities, and processes for addressing concerns.

IV. Faculty and Voting Rights

Faculty Rule 3335-5-19 defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment. For purposes of governance, the faculty of this Department includes tenure-track, clinical, and research faculty with compensated FTEs of at least 50% in the Department, and associated faculty.

The Department of Orthopaedics makes tenure-track appointments with titles of instructor, assistant professor, associate professor, or professor. Tenure-track faculty may vote in all matters of Department governance.

The Department of Orthopaedics makes clinical appointments. Clinical faculty titles are assistant clinical professor of Orthopaedics, associate clinical professor of Orthopaedics, and clinical professor of Orthopaedics. Clinical faculty are appointed for terms of three to five years, and may be reappointed to successive terms. Procedures for reappointment and promotion are defined in the Department Appointment, Promotion, and Tenure Document. Clinical faculty may vote in all matters of Department governance except tenure-track appointment, promotion and tenure decisions and research appointment, reappointment, and promotion decisions. As defined by Faculty Rule 3335-7-11, clinical faculty may be nominated and may serve if elected on the University Senate as a representative of the college.

The Department of Orthopaedics makes research appointments. Research faculty titles are research assistant professor of Orthopaedics, research associate professor of Orthopaedics, and research professor of Orthopaedics. Research faculty members are not eligible for tenure. Research faculty are appointed for terms of one to five years and may be reappointed to successive terms. Procedures for reappointment and promotion are defined in the Department Appointments, Promotion, and Tenure Document. Research faculty may vote in all matters of Department governance except tenure-track appointment, promotion, and tenure decisions and clinical appointment, reappointment, and promotion decisions. Research faculty may participate in discussions of research faculty matters including promotion reviews.

A Clinical Faculty Appointment Cap

Clinical Departments in the College of Medicine do not have a clinical faculty appointment cap.

B Research Faculty Appointment Cap

This department's number of research faculty will be no more than 20% of the number of tenure-track faculty, with research faculty positions always constituting a minority with respect to the number of tenure-track faculty in the unit. A majority vote of the department's tenure-track faculty is required to alter this appointment cap.

The Department of Orthopaedics makes associated faculty appointments. Associated faculty may or may not be Ohio State employees. They may or may not be paid. Titles include: adjunct instructor/assistant/associate/professor; lecturer and senior lecturer; rehired retiree-faculty and retiree-faculty emeritus; visiting assistant/associate/professor; clinical assistant/associate/professor of practice. These positions are usually intended to be short-term but may be appointed for a term up to three years. Procedures for reappointment and promotion are defined in the department's Appointments, Promotion, and Tenure Document.

Associated faculty may not vote at any level of Department governance. Associated faculty may not participate in the appointment, promotion and tenure reviews of tenure-track faculty, or in the appointment, reappointment, or promotion reviews of clinical or research faculty. Visiting faculty may be

invited to participate in discussions on non-personnel matters, but may not participate in personnel matters, including appointment, promotion and tenure reviews, and may not vote on any matter.

Emeritus faculty is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule 3335-5-36. Full-time tenure track, clinical, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service. See the department's Appointments, Promotion, and Tenure Document for additional detail. Emeritus faculty are invited to participate in discussions on non-personnel matters but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter. Emeritus faculty members have benefits provided by the University, but are not entitled to office space or other resources. Provision of such resources is at the discretion of the Department Chair.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this Department is provided in the Appointments, Promotion and Tenure Document.

V Organization of Department Services and Staff

The Department of Orthopaedics is organized into nine (9) clinical divisions representing the following disciplines of Orthopaedics:

- Foot and Ankle
- Orthopaedic Oncology
- Shoulder Surgery
- Spine
- Sports Medicine, including Hip Preservation
- Adult Reconstruction Musculoskeletal Infection
- Trauma
- Hand and Upper Extremity
- Podiatry

Research shall constitute a non-clinical Division of the Department.

At the Chair's discretion, a Division Chief may be named for each of the above-named Clinical Divisions. The appointment, removal, or replacement of a Division Chief shall be at the sole discretion of the Department Chair. The Vice-Chair of Research will serve in lieu of a Division Chief for the research Division.

Each of these divisions is responsible for the teaching, research, and patient care related to the specific discipline. In addition, the division as a whole and the members of the division as individuals are responsible for contributing to the overall mission of the Department. The addition or deletion of a division shall be at the discretion of the Chair in collaboration with the faculty.

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

The Department provides a broad range of services that assure efficient and productive day-to-day operation. These include full time human resources and payroll actions; purchasing of supplies, services

and equipment; fiscal accounting; and secretarial/administrative support.

There shall be a Department Administrator to oversee the non-academic operation of the Department. The Department Administrator is the supervisor of record for all classified civil service personnel, and reports to the Chair. The Chair and/or their designee are responsible for the assignment of secretarial staff for the faculty.

There shall be an Administrative Associate to oversee the academic operation of the Department. The Administrative Associate will be responsible for day-to-day operations of the office of the Chair and ensure that the Department is in compliance with rules and regulations of the College and University, and reports to the Chair.

VI Overview of Department Decision-Making

Policy and program decisions are made in a number of ways: by the Department faculty as a whole, by standing or special committees of the Department, or by the Department Chair. The nature and importance of any individual matter determine how it is addressed. Department governance proceeds on the general principle that the more important the matter to be decided, the more inclusive participation in decision making needs to be. Open discussions, both formal and informal, constitute the primary means of reaching decisions of central importance.

The Department Chair shall consult with the faculty as a whole on all matters involving educational and academic policies and such consultation will, whenever practicable, be undertaken at a meeting of the faculty as a whole. The faculty as a whole will also be consulted on administrative procedures or responsibilities which may impact them.

The Department recognizes, in principle, the presumption favoring majority rule on all matters covered by the Pattern of Departmental Administration. There may be times, however, when the Chair finds it necessary to depart from the decision of the majority of the faculty. In such cases, it is incumbent upon the Chair to communicate to the faculty at a faculty meeting the reasons for the departure from the majority decision. This communication shall outline the decision of the majority of the faculty, the decision of the Chair, and the reasons the decisions differ.

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 variety of interests within the Department.

VII Department Administration

A Department Chair

The primary responsibilities of the Department Chair are set forth in Faculty Rule 3335-3-35. This rule requires the Department Chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule 3335-6, also requires the Department Chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to appointments, reappointments, promotion and tenure.

Other responsibilities of the Department Chair not specifically noted elsewhere in this Pattern of Administration, are paraphrased and summarized below.

1. To uphold expectations of the Leadership Philosophy:
   - Uphold Ohio State's Shared Values and engender trust through words and actions.
   - Care for people and create conditions for well-being and productivity.
   - Set clear direction and goals for their teams and align to the mission of the department.
   - Solve problems and support their teams to adapt to changing contexts.
   - Drive cross-functional collaborations to advance goals of the department.
   - Demonstrate commitment to continuous growth for themselves and their teams.
2. To have general administrative responsibility for department programs, subject to the approval of the dean of the college, and to conduct the business of the department efficiently. This broad responsibility includes the acquisition and management of funds and the hiring and supervision of faculty and staff.
3. To plan with the members of the faculty and the dean of the college a progressive program; to encourage research and educational investigations.
4. To assign workload according to the department's workload guidelines (see Section IX) and faculty appointment type (and rank).
5. To evaluate and improve instructional and administrative processes on an ongoing basis; 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.
6. To evaluate faculty members annually in accordance with both university and department established criteria; to inform faculty members when they receive their annual performance and merit review of their right to review their primary personnel file maintained by their department and to place in that file a response to any evaluation, comment, or other material contained in the file.
7. After consultation with the eligible faculty, to make recommendations to the dean of the college regarding appointments, reappointments, promotions, dismissals, and matters affecting the work of members of the department faculty, in accordance with procedures set forth in Faculty Rules 3335-6 and 3335-7 and this department's Appointments, Promotion and Tenure Document.
8. To see that all faculty members, regardless of their assigned location, are offered the privileges and responsibilities appropriate to their appointment type and rank; and, in general, to lead in maintaining a high level of morale.
9. To maintain a curriculum vitae for all personnel teaching a course in the department's curriculum.
10. To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.
11. To prepare, after consultation with the faculty, annual budget recommendations for the consideration of the dean of the college.
12. To facilitate and participate in prescribed academic program review processes, in collaboration with the dean of the college and the Office of Academic Affairs.
13. To promote improvement of instruction by providing faculty with written evaluations by students and residents and periodic review by faculty.

Day-to-day responsibility for specific matters may be delegated to others, but the Department Chair retains final responsibility and authority for all matters covered by this Pattern, subject when relevant to the approval of the dean, Office of Academic Affairs, and Board of Trustees.

Operational efficiency requires that the Department Chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of Department academic goals, however, are most successful when all faculty members participate in discussing and deciding matters of importance. The Department Chair will therefore consult with the faculty on all educational and academic

policy issues and will respect the principle of majority rule. When a departure from majority rule is judged to be necessary, the Department Chair will explain to the faculty the reasons for the departure, ideally before action is taken.

B Other Administrators

1. Vice-Chairs

The Department Chair has final responsibility for the administration of the Department. In the absence of the Chair, this administrative responsibility may be delegated to the Administrative Vice-Chair. The appointment of the Vice-Chairs shall be made at the pleasure of the Department Chair. An Administrative Vice-Chair will be chosen through election by the Executive Committee. The Administrative Vice-Chair will assume the Chair's duties and responsibilities in the event that Chair is temporarily unavailable, or until such time that the Dean determines that it is necessary to appoint an Interim Chair and launch a search for a new Chair. These appointments will be for 3 years with the opportunity for re-appointment at the Department Chair's discretions. The creation or elimination of Vice-Chair positions is at the Chair's discretion.

The current Vice-Chairs include:

1. Vice-Chair of Outreach
2. Vice-Chair of Education
3. Vice-Chair of Clinical Operations
4. Vice-Chair of Quality
5. Vice-Chair of Finance and Compensation
6. Vice-Chair of Research
7. Vice-Chair for Community Health Access and Engagement
8. Vice-Chair of Faculty Affairs
9. Administrative Vice-Chair

The specific responsibilities of each Vice-Chair are delineated in Appendix 1.

C Committees

The Department Chair is an ex officio member of all Department committees and may vote as a member on all committees except the Committee of Eligible Faculty and the Promotion and Tenure Committee.

i. Promotion and Tenure Committee

The Promotion and Tenure Committee assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of at least three tenure track faculty at or above the level of the candidates seeking promotion. Because of the limited number of tenured faculty within the Department of Orthopaedics, tenured professors from other College of Medicine (COM) TIUs may be asked to serve on the departmental Appointment, Promotion and Tenure Committee (AP&T) on an *ad hoc* basis for promotion and tenure reviews.

The committee's chair and membership are appointed by the department chair. The term of service is three (3) years, with reappointment possible. The chair of the P&T Committee will also serve as the chair of the Committee of the Eligible Faculty.

When considering cases involving clinical faculty the P&T Committee may be augmented by 2 additional non-probationary clinical faculty member(s) at the rank of associate professor or professor, as appropriate to the case.

When considering cases involving research faculty the AP&T Committee may be augmented by one non-probationary research faculty member at the rank of associate professor or professor, as appropriate to the case.

ii. Clinical Affairs Committee

The Clinical Affairs Committee will be comprised of the Vice-Chair of Clinical Affairs and the Vice-Chair of Quality, both of whom serve a three-year term, and the Department Chair, who also chairs the committee. This committee reviews clinical practice activities; assesses outcomes as measure of quality of care and develops new protocols to lower morbidity and cost, reviews clinical protocols. Recommendations are made to the faculty as a whole.

iii. Research Committee

The Research Committee exists to assist the Vice-Chair of Research in prioritization of research proposals, preparation of grant proposals, experimental design and execution, and the allocation of existing funds to meritorious projects. Members include:

1. Standing members: Department Chair (who also chairs the committee), Vice-Chair of Research, Vice-Chair of Education, Vice-Chair of Quality (no term, determined by position title)
2. Staff managers: Lead Research Coordinator, Publications manager (no term, determined by position role)
3. Ad hoc members: 1-3 additional members appointed by the chair from Orthopaedics faculty who have either been named on a grant in the last 2 years, faculty who are actively pursuing a grant, or non-Orthopaedics faculty who maintain extramural projects in direct collaboration collaborate with Orthopaedics faculty (rotating term limits of 2 years on followed by at least one year off), divisional research coordinators on an ad hoc basis.

iv. Education Committee

The Education Committee has undergraduate and graduate divisions, the latter comprising Residency Education and Fellowship Program subdivisions.

I. Undergraduate Medical Education Committee Members (no term limits)
   a. Residency Program Director/Vice-Chair of Education – Committee Chair
   b. Associate Residency Program Director for Education
   c. Vice-Chair of Research
   d. Clinical rotation lead: one faculty member appointed by the chair
   e. Staff administrative assistant

II. Graduate Divisions
   A. Residency Education Committees
      1. The Program Evaluation Committee (PEC). This committee is required by ACGME. Its purpose is to provide program oversight in an effort at continuous program improvement. The responsibility of the PEC is to evaluate the program's mission and aims,

strengths, areas for improvement, and threats; to evaluate the program's effectiveness and to prepare a written plan of action in order to document initiatives to improve performance/outcomes; and to delineate how improvement initiatives will be measured and monitored. Program Evaluation Committee Members include:

a. Residency Program Director/Vice-Chair of Education-no term limit
b. Assistant Residency Program Director-no term limit
c. Representative from Nationwide Children's Hospital (selected by NCH Faculty) - no term limit
d. Vice-Chair of Research-no term limit
e. Department Chair (who chairs the committee)-no term limit
f. Program Coordinator (ex officio)
g. Two Resident members (selected by the Residency Program Director) - term limit one year
h. One faculty member from each division-term limit one year with option to renew.

2. Clinical Competency Committee (CCC). This committee is required by ACGME. The purpose of this committee is to assess resident progress in meeting educational milestones. It is required to meet at least twice yearly. Members include:

a. Residency Program Director/Vice-Chair of Education (who chairs the committee)-no term limit
b. Nationwide Children's Hospital Representative (selected by NCH Faculty) -one-year term limit with option to renew.
c. One representative from each division-term limit one year with option to renew

3. Didactics committee. This is a focused committee developed to manage the residency didactics/OITE education curriculum. Members include:

a. Residency Program Director/Vice-Chair of Education (who chairs the committee)-no term limit
b. Assistant Residency Program Director-no term limit
c. Two Resident members (Selected by the Residency program director) - term limit one year
d. Residency Program Coordinator – no term limit

4. Grand Rounds Committee. This committee develops and manages our grand rounds schedule including M&M conferences, visiting professorships, and faculty development lectures. Members include:

a. Residency Program Director/Vice-Chair of Education-no term limit
b. Department Chair (who chairs the committee)—no term limit
c. Residency Program Coordinator – no term limit

B. Fellowship Education Committees

1. Program Evaluation Committee (PEC). Analogous to the Residency PEC. All faculty in each fellowship division are members. No term limits.

2. Clinical Competency Committee (CCC). Analogous to the Residency CCC. All faculty in each fellowship division are members. No term limits.

v. Faculty Recruiting Committee

This committee assists in identifying potential faculty members and aids in recruitment.

The Committee is comprised of Standing Members, including the Chair, the chief of the recruiting division (who works in close collaboration with the Chair), the Vice-Chair of Faculty Affairs, the Residency Program Director, the Vice-Chair of Education (if this position is held by a different individual than the Residency Program Director), the Vice-Chair of Finance and Compensation, the Vice-Chair of Research, and the Department Administrator. The Ad Hoc Committee members will include the additional members of that Division and a junior faculty member, both chosen by the Standing Members. The Vice-Chair for Faculty Affairs will serve as the designated EEO Representative.

The functions, responsibilities, and procedures of the Faculty Recruiting Committee are delineated in Appendix 2.

vi. Policy and Procedures Committee (Meets Ad Hoc)

Reviews and recommends policy and procedures to Chair. Maintains current Policy and Procedures documentation. Participates in Joint Commission on Accreditation of Healthcare Organization review. The composition and need for convening this committee shall be at the discretion of the Executive Committee.

vii. The Executive Committee

This committee is comprised of all Division Chiefs and all Vice-Chairs. It is chaired by the Department Chair. This committee meets on a quarterly basis and as needed to ensure the appropriate functioning of the other committees, as well as integration, prioritization, and coordination of all Departmental functions and initiatives.

viii. Workplace Culture Committee

The Workplace Culture Committee's mission is to develop and maintain a civil environment where people feel valued, can thrive, and excel, can care for themselves and each other, and can feel free of discrimination, harassment, and mistreatment. To that end, this committee will meet at least quarterly or at another agreed upon cadence, will curate and distribute reading materials from the current literature, and will arrange quarterly faculty development events (retreats, guest speakers, workshops). Members include:

1. Faculty: Standing members include the Department Chair and the Residency Program Director/Vice-Chair of Education.
2. Membership is open to all faculty with interest in participating (typically 2-3 additional faculty members, solicited annually, and no term limits)
3. Advanced Practice Provider Representation: Department APP lead/manager (no term limit)
4. Residents: Administrative Chief Resident (1-year term)

ix. Ad Hoc Committees

Ad hoc committees are formed at the direction of the Chair in consultation with Vice-Chairs to address issues that may arise of importance to the department and/or the faculty. The Chair will appoint one or more committee co-chairs. Committee membership will vary depending on the goal of the committee and will be for the duration of the committee's work. Depending on the nature of the committee the Department Chair may make direct appointments, solicit nominations, or conduct an election for committee membership among the faculty.

VIII Faculty Meetings

The Department Chair will provide to the faculty a schedule of Department faculty meetings at the beginning of each academic term. The schedule will provide for at least one meeting per quarter and normally will provide for monthly meetings. A call for agenda items and completed agenda will be delivered to faculty by e-mail before a scheduled meeting. Reasonable efforts will be made to call for agenda items at least seven days before the meeting, and to distribute the agenda by e-mail at least three business days before the meeting. A meeting of the Department faculty will also be scheduled on written request of 25% of the faculty. The Department Chair will make reasonable efforts to have the meeting take place within one week of receipt of the request. The Department Chair will distribute minutes of faculty meetings to faculty by e-mail—within seven days of the meeting if possible. These minutes may be amended at the next faculty meeting by a simple majority vote of the faculty who were present at the meeting covered by the minutes.

Special policies pertain to voting on personnel matters, and these are set forth in the department's Appointments, Promotion and Tenure Document.

For purposes of discussing Department business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum will be defined as a simple majority (>50%) of all faculty members eligible to vote.

Either the Department Chair or one-third of all faculty members eligible to vote may determine that a formal vote conducted by written ballot is necessary on matters of special importance. For purposes of a formal vote, a matter will be considered decided when a particular position is supported by at least a majority (>50%) of all faculty members eligible to vote. Balloting will be conducted by mail or e-mail when necessary to assure maximum participation in voting. When conducting a ballot by mail or email, faculty members will be given one week to respond.

When a matter must be decided and a simple majority of all faculty members eligible to vote cannot be achieved on behalf of any position, the Department Chair will necessarily make the final decision.

The Department accepts the fundamental importance of full and free discussion but also recognizes that such discussion can only be achieved in an atmosphere of mutual respect and civility. Normally Department meetings will be conducted with no more formality than is needed to attain the goals of full and free discussion and the orderly conduct of business. However, Robert's Rules of Order will be invoked when more formality is needed to serve these goals.

IX Distribution of Faculty Duties, Responsibilities, and Workload

Faculty roles and responsibilities are described in the initial letter of offer. The guidelines outlined here do not constitute a contractual obligation. Fluctuations in the demands and resources of the Department and the individual circumstances of faculty members may warrant temporary deviations from these guidelines. Assignments and expectations for the upcoming year are addressed as part of the annual

review by the Chair based on Department needs as well as faculty productivity and career development. It is imperative that each faculty member have assignments that reasonably and appropriately represent 100% of their effort. Faculty members are expected to meet their clinical/service, teaching, administration and research obligations. Situations in which a faculty member does not meet those expectations will be addressed through the relevant processes pertaining to workload reassignments, resource allocation, salary or FTE reductions as specified in the College of Medicine Policies, University Faculty Rules and the faculty member's letter of offer.

With the exception of research faculty, faculty are required to support their salary and/or funding expectations as outlined in their letter of offer or based on expectations outlined in their annual review.

Per University Faculty Rules, research faculty are generally expected to support 95% of their total annual salary on extramural funding.

Exclusive of start-up funds that may be provided to help establish a research program, faculty members are expected to generate the financial support for their laboratory staff, supplies, and other expenses.

During on-duty periods, faculty members are expected to be available for interaction with medical students, residents, and fellows for research, mentoring, and Departmental meetings and events. Faculty members are expected to work at a University worksite during normal work hours. Flexibility for an alternate location can be provided through consultation and documentation with the department chair, school director or the Dean. Any faculty working out-of-state for more than 30 days in a year must be approved by the Dean.

Telework exception: Faculty members with responsibilities requiring in-person interaction are to work at a university worksite to perform those responsibilities. Telework and the use of remote, virtual meetings are allowed at the discretion of the Department Chair if such work can be performed effectively and faculty members are able to fulfill their responsibilities. Telework will be encouraged under certain circumstances if it serves the needs of the department, college, university, and/or community. The Department Chair has the discretion to require faculty to work on campus if there are concerns that responsibilities are not being fulfilled through telework.

A full-time faculty member's primary professional commitment is to Ohio State University and the guidelines below are based on that commitment. Faculty who have professional commitments outside of Ohio State during on-duty periods (including teaching at another institution; conducting research for an entity outside of Ohio State; external consulting) must disclose and discuss these with the Department Chair in order to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the university's Policy on Outside Activities and Conflicts.

In crisis situations, such as life-threatening disease (COVID, for example) or physical dangers (natural disasters, for example), faculty duties and responsibilities may be adjusted by the Department Chair to take into account the impact over time of the crisis. These adjustments may include modifying research expectations in order to maintain teaching obligations. These assignment changes must be considered in annual reviews.

All tenure-track and clinical faculty members in the Department of Orthopaedics are expected to have responsibilities in teaching, scholarship and service. The Department's teaching schedules principally involve teaching our own residents, fellows, and the medical students from The Ohio State University College of Medicine. Teaching schedules are developed through the Clinical Affairs Committee in

collaboration with the Residency Program Director and the Vice-Chair of Education. Due to the nature of the practice of Orthopaedics, much of the teaching is direct hands-on in the operating rooms. However, while all faculty are required to teach in the operating rooms to the residents and medical students, most faculty are also required to spend time teaching in ambulatory clinics, as well as in the didactic, clinical conference curriculum, and journal club activities to enhance the educational experience.

A Tenure-track Faculty

Tenure-track faculty members are expected to contribute to the university's mission via teaching, scholarship, and service. When a faculty member's contributions decrease in one of these three areas, additional activity in one or both of the other areas is expected.

Teaching

Tenure Track Faculty **without significant clinical responsibilities** are expected to contribute to the department's teaching. This may include participating in courses for graduate or undergraduate students (both individual and team-taught), individual instruction (e.g., academic advising or supervision of independent study, thesis and dissertation work) and accepting participation of graduate and undergraduate students in their research program/lab. For tenure-track faculty without significant clinical responsibilities, the standard teaching assignment may vary based on their research and/or service activity. Faculty members who are especially active in research can be assigned an enhanced research status that includes a reduced teaching assignment. Likewise, faculty members who are relatively inactive in research can be assigned an enhanced teaching status that includes an increased teaching assignment. Faculty members who are engaged in extraordinary service activities (to the department, college, university, and in special circumstances professional organizations within the discipline) can be assigned an enhanced service assignment that includes a reduced teaching assignment.

Tenure-track faculty **with significant clinical responsibilities** will participate in bedside teaching of fellows, residents, and medical students during clinical shifts. They are also expected to advise junior faculty, fellows, residents, and medical students. They may supervise research work of learners or junior faculty. Clinical release time for significant teaching assignments for residents and medical students outside of clinical bedside teaching may be awarded at the discretion of the department Chair based on department needs, faculty request, availability of funding, and chair approval.

The standard teaching workload expectation for full-time tenure-track faculty members, with or without significant clinical responsibilities, is 40-50% time allocation to total workload according to the university workload guideline.

Tenure track faculty will receive written evaluations of their teaching at least annually. Methods of evaluation may include course reviews, lecture evaluations, bedside teaching evaluations by residents and/or medical students, and peer evaluation by other faculty members. Results will be reviewed with the chair during the annual meeting.

The Department Chair is responsible for making teaching assignments on an annual basis, and may decline to approve requests for adjustments when approval of such requests is not judged to be in the best interests of the Department. All faculty members must do some formal instruction and advising over the course of the academic year.

Scholarship

All tenure-track faculty members are expected to be engaged in scholarship as defined in the Department's Appointments, Promotion, and Tenure Document. The standard scholarship workload expectation for full-time tenure-track faculty members is 40-50% time allocation to total workload according to the university workload guideline. Over a four-year rolling period a faculty member who is actively engaged in scholarship will be expected to publish regularly in high quality peer- reviewed journals as well as in other appropriate venues, such as edited book chapters of similar quality and length as articles. Faculty engaged in basic or applied research are expected to attract extramural funding that provides a portion of salary support for themselves and covers their students/staff. Faculty members are also expected to seek appropriate opportunities to obtain patents and/or other commercial activities, consistent with their specific area of expertise, stemming from their research. Details about expected productivity can be found in the Appointments, Promotion, and Tenure Document.

Service

Faculty members are expected to be engaged in service and outreach to the department, university, profession, and community. The standard service workload expectation for full-time tenure-track faculty members is 10-20% time allocation to total workload according to the university workload guideline.

The nature of such service will depend on the faculty member's expertise, rank, interests, and other duties as well as department needs. Service loads will be discussed during annual performance and merit reviews.

All faculty members are expected to attend and participate in faculty meetings, recruitment activities, and other department events.

When heavy service obligations are primarily volunteer in nature, the Chair is not obligated to modify the service load of the faculty member (reduce clinical, teaching and/or scholarly obligations). If, however, a heavy service load is due to the faculty member's unique expertise, perspective, or voice, this should be noted in the annual performance review letter and considered when distributing the faculty member's other duties. The Chair should also consider this additional service burden in managing the distribution of service loads among faculty.

Base clinical service for tenure track faculty with clinical degrees will initially be described in the faculty member's contract and revised/updated at least annually.

Clinical service hours may be decreased if alternative funding streams for faculty salary are identified or at the discretion of the department chair, generally to perform specific departmental service duties. Conversely, base clinical service may be increased at the discretion of the chair if alternative funding is lost, performance of alternative duties is considered suboptimal, or department funding is reallocated.

B Clinical Faculty

The Department of Orthopaedics uses the title clinical faculty. In addition to the fulfillment of their patient care responsibilities, clinical faculty members are expected to contribute to the university's mission via teaching and service, and to a lesser extent scholarship. Service expectations are similar to those for the tenure-track. Specific criteria are defined in the Department's Appointments, Promotion, and Tenure Document.

The Department of Orthopaedics appoints clinical faculty on clinical excellence, clinician educator, and clinician scholar pathways. These appointments exist for faculty members who focus principally on the clinical, educational, or scholarship needs of the department.

All clinical faculty provide clinical service. Faculty performance in clinical service will be reviewed at least annually and will include productivity, patient satisfaction, clinical quality metrics, learner evaluations, service contributions, and citizenship.

All clinical faculty engage in bedside teaching while providing clinical service. They will receive written evaluations of their teaching at least annually. Methods of evaluation may include lecture evaluations, bedside teaching evaluations by residents, fellows, and/or medical students, and peer evaluation by other faculty members. Results will be reviewed with their division chief their annual review meeting, and subsequently, by the chair.

All clinical faculty are expected to be engaged in service and outreach to the department, university, profession, and/or community. The nature of such service will depend on the faculty member's expertise, rank, track, interests, and other duties as well as department needs. Service loads will be discussed during annual performance and merit reviews.

The standard workload expectations for full-time clinical faculty members are 65-100% clinical service, 0-30% scholarship, and 0-30% service.

Clinical faculty on the clinical excellence pathway are expected to spend the majority (>80%) of their time providing clinical service and/or clinical administrative leadership. The expectation includes excellent patient care as well as providing excellent bedside teaching for learners in the clinical environment including residents and medical students. Clinical excellence pathway faculty do not have scholarship requirements.

Clinical faculty on the clinician educator pathway are expected to provide substantial educational service in addition to required clinical service. Such faculty may, at the chair's discretion and funding support, work a decreased clinical schedule in order to provide time for additional educational activities including, but not limited to, bedside teaching, didactic teaching, teaching administration, mentoring and advising, and conducting collaborative research with learners. Faculty may work with residents, medical students, fellows, or other learners. Clinical release time for significant teaching assignments for residents and medical students outside of clinical bedside teaching may be awarded at the discretion of the department Chair based on multiple factors including, but not limited to, department needs, faculty request, and availability of funding. Clinician educator pathway faculty also have a scholarly requirement as outlined in the department AP&T document.

Clinical faculty on the clinician scholar pathway are expected to provide significant scholarship in addition to their clinical service. Scholarship requirements are outlined in the department AP&T document. They will also provide clinical service and bedside teaching as described for other pathways above.

C Research Faculty

Research faculty members are expected to contribute to the university's mission primarily via research.

In accord with Faculty Rule 3335-7-34, *a research faculty member may, but is not required to, participate in limited educational activities in the area of his or her expertise. However, teaching opportunities for each research faculty member must be approved by a majority vote of the Department's tenure-track faculty. Under no circumstances may a member of the research faculty be continuously engaged over an extended period of time in the same instructional activities as tenure-track faculty.*

Standard workload expectations for full-time research faculty members are 0-10% teaching (student mentoring), 90-100% research, and 0-10% service, depending on specific expectations as spelled out in the letter of offer.

D Associated Faculty

Standard workload expectations for compensated associated faculty members are 65-100% clinical service, 0-20% scholarship, and 0-20% service, depending on the terms of their individual appointments.

Faculty members with appointments <100% FTE will have reduced expectations based on their appointment level.

E Modification of Duties

The Department of Orthopaedics strives to be a family-friendly unit in its efforts to recruit and retain high quality faculty members. To this end, the Department is committed to adhering to the College of Medicine's guidelines on modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption/fostering, or care for an immediate family member who has a serious health condition, or a qualifying exigency arising out of the fact that the employee's immediate family member is on covered active duty in a foreign country or call to covered active duty status. See the college pattern of administration for details. See also the OHR Parental Care Guidebook and the Parental Leave Policy in Section XII.

The faculty member requesting the modification of duties and the Department Chair should be creative and flexible in developing a solution that is fair to both the individual and the unit while addressing the needs of the university. Expectations must be spelled out in an MOU that is approved by the dean.

X Course Offerings, Teaching Schedule, and Grade Assignments

The Department Chair will annually develop a schedule of course offerings and teaching schedules in consultation with the faculty, both collectively and individually. While every effort will be made to accommodate the individual preferences of faculty, the Department's first obligation is to offer the courses needed by students at times and in formats, including on-line instruction, most likely to meet student needs.

To assure conference room or virtual conferencing availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet learner needs, reasonable efforts must be made to assure that didactic lectures, grand rounds, quality conferences, morbidity and mortality, professional development, culture committee, and wellness activities match learner needs and the requirements set forth by the Office of Graduate Medical Education and of the Accreditation Council for Graduate Medical Education (ACGME). A concerted effort is made to avoid scheduling conflicts.

If an instructor of record is unable to assign grades due to an unexpected situation (i.e. health or travel), or if they have not submitted grades before the university deadline and are unreachable by all available modes of communication, the department chair may determine an appropriate course of action, including assigning a faculty member to evaluate student materials and assign grades for that class. The University Registrar will be made aware of this issue as soon as it is known and will be provided a timeline for grade submission.

XI Allocation of Department Resources

The Department Chair is responsible for the fiscal and academic health of the department and for assuring that all resources—fiscal, human, and physical—are allocated in a manner that will optimize achievement of unit goals.

The Department Chair will discuss the department budget at least annually with the faculty and attempt to achieve consensus regarding the use of funds across general categories. However, final decisions on budgetary matters rest with the Department Chair.

Research space shall be allocated on the basis of research productivity, including external funding, and will be reallocated periodically as these faculty-specific variables change. It is essential that research space and support be allocated to faculty members with actively funded research programs that meet College metrics regarding research funding. See COM Research Space Policy. After the preliminary/start-up period, faculty members who have not had extramural funding to support their research may be assigned laboratory space at the discretion of the Department Chair. In the event that a previously funded faculty is without extramural funding for two years, the laboratory space previously assigned to them will, at the discretion of the Department Chair, be re-assigned. The faculty member can share space with a funded faculty, with the consent of that faculty, until the faculty member is able to re-establish their funding at a sufficient level to meet space assignment metrics.

The allocation of office space will include considerations such as achieving proximity of faculty in subdisciplines and productivity and grouping staff functions to maximize efficiency.

The allocation of salary funds is discussed in the Appointments, Promotion and Tenure Document.

The distribution of monies from existing and future development funds will be made in accordance with the donor's wishes, and at the discretion of the Executive Committee after such monies are requested. The Executive Committee may require a formal application process, clearly outlining the intended use of the funds, and the merits of the project they are intended to support.

XII Leaves and Absences

In general, there are four types of leaves and absences taken by faculty (in addition to parental leave, which is detailed in the Parental Care Guidebook). The university's policies and procedures with respect to leaves and absences are set forth on the Office of Human Resources Policies and Forms website. The information provided below supplements these policies.

A. Discretionary Absence (including University Business Travel)

Faculty are expected to complete a travel request or a request for absence well in advance of a planned absence (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 semester is substantial. Rules of the University Faculty require that the Office of Academic Affairs approve any discretionary absence longer than 10 consecutive business days (See Faculty Rule 3335-5-08) and must be requested in Workday prior to the leave.

First and foremost, all faculty members, including administrators, have a primary obligation to exercise the responsibilities of their position. While being away from the University is a reasonable and necessary component of this responsibility, it cannot be at the detriment of their University obligations. Excessive

outside commitments fundamentally undermine a person's ability to do their job. In any given situation numerous college and university policies may apply, and it is the faculty members' responsibilities to adhere to all such policies.

Faculty members frequently have the opportunity to participate in activities outside of the University (e.g. attending academic conferences, lecturing at other Universities, etc.) which are important for the development of their academic careers, and which enhances the national reputation of the College and University. The importance of undertaking these activities must be balanced with each faculty member's commitments and responsibilities to the Department and College. The amount of approved business travel must be appropriate and consistent with the University Policy on Outside Activities and Conflicts.

B. Absence for Medical Reasons (Sick Leave)

When absences for medical reasons are anticipated, faculty members are expected to complete enter a request for absence through Workday. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the Department 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. For additional details see OHR Policy 6.27.

C. Family Medical Leave

Faculty may be eligible for leave under the Family Medical Leave Policy and/or the university's paid parental leave guidelines as described in its Policy on Paid Time Off. The faculty member requesting the leave and the department chair should be creative and flexible in developing a solution that is fair to both the individual and the unit while addressing the needs of the university and consistent with the OSUP/FGP compensation plan as applicable. Expectations must be spelled out in an MOU that is approved by the Dean.

D. 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.

E. Faculty Professional Leave (FPL)

Information on faculty professional leaves is presented in the OAA Policy on Faculty Professional Leave. Tenured faculty are eligible for Faculty Professional Leave, also known as sabbatical leave, in accordance with the standards and requirements set forth in the Office of Academic Affairs' policy on Faculty Professional Leave. The Faculty Professional Leave program (FPL) was created to give faculty a period of uninterrupted time to invest in their professional development. Activities that entail little or no investment in new skills and knowledge are not appropriate for the program. In addition, faculty should restrict other employment activity during a leave, including employment approved under the paid external consulting policy, to that which clearly enhances the purposes of the leave. FPL proposals generally emphasize enhancement of research skills and knowledge. However, faculty members may use an FPL for substantial investment in pedagogical or administrative skills and knowledge when these are judged to be mutually beneficial to the faculty member and their academic unit.

It is recommended that the faculty member submit proposals to the department chair at least three months in advance of the proposed leave. The executive committee will review all requests for professional leave.

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. If approved, the Dean or their delegate for approval will then submit the document for OAA approval, with leave applications finally recommended to the Board of Trustees for final approval.

Within two months after returning from professional leave, each recipient shall submit to the provost, dean and chair a statement summarizing work completed while on leave.

F. Parental Leave

The university, the college, and this department recognize the importance of parental leave to faculty members. Details are provided in the OHR Parental Care Guidebook, Paid Time Off Policy 6.27, and the Family and Medical Leave Policy 6.05.

XIII Additional Compensation and Outside Activities

A. Supplemental Compensation

Information on faculty supplemental compensation is presented in the OAA Policy on Faculty Compensation.-There is a separate FGP supplemental pay policy relating to clinical activity for faculty in the Faculty Group Practice.

Supplemental compensation is for temporary work clearly beyond the faculty member's normal assignments, in an amount appropriate to the allocation of time necessary to complete the extra assignment. The extra assignment should be nonrecurring and clearly limited in time and scope.

Should a faculty member wish to use a textbook or other material that is authored by the faculty member and the sale of which results in a royalty being paid to them, such textbook or material may be required for a course or clinical rotation by the faculty member only if (1) the faculty member's Department Chair and dean or designee have approved the use of the textbook or material for the course taught by the faculty member, or (2) an appropriate committee of the department or college reviews and approves the use of the textbook or material for use in the course taught by the faculty member.

The College expects faculty members to carry out the duties associated with their primary appointment with the University at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation must be approved by the Department chair regardless of the source of compensation. Approval will be contingent on the extent to which a faculty member is carrying out regular duties including meeting fiscal and other obligations to the department, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the Department. In addition, it is University policy that faculty may not spend more than one business day per week on supplementally compensated activities and external consulting combined. In addition, consulting activities should not conflict with University research. If the potential for conflict exists, a conflict management plan will be developed in collaboration with Medical Center legal and the chair.

B. Outside Activities (including paid external consulting)

Information on paid external consulting is presented in the university's Policy on Outside Activities and

Conflicts. The information provided below supplements these policies. Faculty members are encouraged to engage in outside activities to the extent that these activities are clearly related to the mission of the Department and the university. All requests should be submitted to the chair for approval.

The department encourages individual participation in outside activities, such as collaborations with government, industry, and other private institutions, because such participation helps advance the college's mission through mutually beneficial partnerships and contributes to social and economic development and increased knowledge. Faculty are required to devote their primary professional allegiance to the university and conduct their university responsibilities with integrity, demonstrating both honesty and transparency. Similarly, all healthcare professionals have an ethical obligation to provide safe, effective, patient-centered, timely, efficient, and high-quality care for their patients.

Faculty members, including faculty with administrative assignments and appointments, are therefore permitted to engage in outside activities to the extent they are clearly related to the mission of the university, they are arranged so as not to conflict or interfere with this commitment to the university or the best interest of the patient, and do not create a conflict of interest or a conflict of commitment as defined in the Policy on Outside Activities and Conflicts. Individuals conducting research also must avoid financial conflicts of interest in research. Faculty remain accountable for and have the primary commitment of meeting all formal and informal duties and obligations associated with research, service, instruction, scholarship, and/or clinical practice, and should not in their behaviors suggest that their commitment is to their outside engagements.

Engagement of faculty in outside activities are at the discretion of the Department Chair and the Dean of the College of Medicine and contingent on ability to complete all normal assigned academic and clinical roles. Allowable outside activities include, but are not limited to, consulting with pharmaceutical or device companies and medical legal work. Medical legal work includes expert witness and independent medical evaluations conducted in which a doctor/patient relationship does not exist. This includes evaluations for disability and civil or criminal legal issues (e.g., patient evaluation, reviewing records, discovery or trial deposition or trial testimony).

The college *does not approve* outside activities involving the use of confidential or proprietary information, which may include, but is not limited to, technologies, technical information, business information, know-how, ideas, data, materials, processes, procedures, methods, compositions, formulas, protocols, devices, designs, strategies, discoveries, inventions, trade secrets, and other intellectual property.

The college *does not approve* outside activities with 'Expert Networks'. These types of organizations (e.g., Guidepoint, Gerson Lehrman Group, ProSapient, Techspert, etc.) have been previously associated with insider trading resulting in legal consequences, and the college has determined that the risk outweighs the benefit.

Finally, faculty should be cautious of 'Speaker Bureaus' where remuneration offered and paid could violate anti-kickback laws. For additional details see OSUWMC Vendor Interaction Policy.
All time and compensation must be reported through appropriate university processes described above. Faculty at 1.0 FTE may not spend more than 416 hours of their on-duty time per fiscal year. Consulting during off-duty periods is not subject to time limitations. Total compensation earned through such external activities may not exceed 75% of total annual compensation, to ensure that individual faculty's principal focus does not appear to shift away from their university responsibilities. Requests in excess of this require written justification from the Department Chair and approval from the Dean. In addition, a

faculty member's outside activity effort, combined with funded effort commitments, may not exceed 100% of their effort. Faculty who will exceed the maximum hours may choose to reduce their FTE or discontinue outside activities.

For faculty members with administrative assignments and appointments (e.g. Division Directors, Department Chairs, Chairs, School Directors, Assistant/Associate/Vice Deans), all paid outside activities and paid professional services **are subject to approval** and reporting requirements. However, faculty members with administrative positions are not permitted to accept compensation/honoraria for services that relate to or are the result of their administrative duties and responsibilities. Such faculty are prohibited from engaging in outside activities when the outside activities overlap with the faculty member's administrative responsibilities to OSU.

For faculty without administrative duties, the following activities **are not** subject to this policy's approval:

1. Professional service activities that exist apart from a faculty member's institutional responsibilities and that do not entail compensation beyond reimbursement for expenses and/or a nominal compensation for services. These activities include but are not limited to service to governmental and non-governmental agencies such as peer review panels and advisory bodies to other universities and professional organizations; presentations to either professional or public audiences in such forums as professional societies and organizations, libraries, and other universities; and peer review activities undertaken for either for-profit or nonprofit publishers, including grant reviews.

2. Health care activities that are explicitly covered by approved practice plans.

Requirements/Restrictions

1. The procedure for requesting approval is outlined in the Guidance on Faculty External Consulting document on OneSource.
2. Outside activities must be approved by the Department Chair and Dean's office using the online faculty external consulting form prior to faculty member undertaking the outside activity.
3. A signed OSU IP addendum signed by both parties must be included for *all* external consulting agreements.
4. Faculty must use vacation leave (or unpaid leave) for any outside activities that occur during normal business hours, whether the outside activity is paid or unpaid.

a. Facilities and services of the university may not be used in connection with compensated outside activity.
b. University staff (e.g., assistants or administrators) may not be used to negotiate with companies, submit faculty requests, or book travel related to the outside activity, as these agreements are between the company and the faculty member.
c. Faculty members may not request reimbursement for expenses related to outside activities.
d. All outside activities and compensation must be disclosed in the eCOI within 30 days of College of Medicine approval.

Corrective Actions
If a faculty member accepts payment for an outside activity without first obtaining approval or participates in activities that have been disapproved, a complaint may be filed against the faculty member under Faculty Rule 3335-5-04 and the faculty member may lose the privilege of future consulting at the

discretion of the Dean of the College of Medicine.

C. Outside Practice of Medicine
As required by the University Board of Trustees, all tenure track, clinical, or associated faculty in the College of Medicine who have a fifty percent or greater University appointment and who are providing patient care services are required, as a condition of faculty employment, to join and remain members of the Central College Practice Group (CCPG). Ohio State University Physicians, Inc (OSUP) has been designated as the CCPG by the University Board of Trustees on November 1, 2002.

Ordinarily, clinical services are provided within the facilities of the OSU Wexner Medical Center. Occasionally, a need or opportunity may arise in which a faculty member seeks to provide patient care service in a non-OSU facility. Requests to practice at a non-OSU facility (including Nationwide Children's Hospital) are considered on an individual basis. The approval process requires completion of the University Self-Insurance Program Non-OSU Location application. The request requires the approval of the Department Chair, and is then forwarded for College approval.

Tenure track, clinical, or associated faculty in the College of Medicine who have a fifty percent or greater University appointment are not permitted to be employed by other entities for the practice of medicine. The only exception to this policy is for faculty members who are contracted with the Veteran's Administration. In those cases, the percentage of the University faculty appointed is reduced proportional to the V.A. appointment. No other exceptions are permitted.

D. Policy on Salary Recovery

- Faculty are required to support their salary and/or funding expectations as outlined in their letter of offer or based on expectations outlined in their annual review.
- Per University Faculty Rules, for research faculty it is generally expected that salary recovery/support will be derived from extramural funds. While salary support for research faculty may not come from dollars provided to the departments from the college, departments may choose to provide funding from individual departmental faculty research funds, start-up funds, and/or department Chair package funds to maintain the faculty member's salary at 100%.
- Unless specifically required by a funding agency and approved by the College of Medicine (e.g. training grants), without cost (aka cost sharing) effort is not permitted.
- Faculty in 9-month appointments will be eligible for off duty pay (ODP) only if they have satisfied their fiscal obligations. ODP must be supported entirely on extramural funding.
- In addition to salary support, faculty are expected to support their research laboratory as specified in the Workload Policy.

E. Expenditures

For guidance on expenditures, please see the following:

University Policy on Expenditures
Faculty & Staff Appreciation guidelines

XIV Conflict of Commitment, Educational and Financial Conflict of Interest

Conflict of Commitment
Information on conflicts of commitment is presented in the university's Policy on Outside Activities and Conflicts. The information provided below supplements this policy.

Ohio State University full-time faculty members, including administrators with faculty appointments, owe their primary professional allegiance to the university, and their primary commitment of time and intellectual energies should be to the education, research, service and scholarship programs of the institution. The specific responsibilities and professional activities that constitute an appropriate and primary commitment will differ across schools and departments. To the extent that a faculty member's pattern of commitment is atypical for that department or school, it should be documented through a written agreement between the faculty member and the department chair.

Even with such understandings in place, however, attempts by faculty to balance university responsibilities with non-university related external activities can result in conflicts regarding allocation of professional time and energies. Conflicts of commitment usually involve issues of time allocation. For example, whenever a faculty member's outside consulting activities (as defined in the university's Policy on Outside Activities and Conflicts and above) exceed the permitted limits or whenever a full-time faculty member's primary professional obligation is not to Ohio State, a conflict of commitment exists.

Faculty should disclose and discuss external commitments with their department chairs/school director and/or Deans prior to engaging in the activity. If an activity cannot be managed by the faculty member and their chair or Dean to avoid a conflict of commitment or the reasonable appearance of a conflict of commitment, the faculty member must refrain from participating in the activity.

Educational Conflict of Interest

Faculty at The Ohio State University College of Medicine accept an obligation to avoid conflicts of interest in carrying out their teaching and professional responsibilities. For purposes of this policy, an educational conflict of interest exists if:

1. Faculty member is currently or previously in a therapeutic relationship with the learner.
2. Faculty member is in a romantic or familial relationship with the learner.
3. Faculty member or admissions committee member is in a romantic or familial relationship with the applicant.
4. Faculty member is currently or previously in a therapeutic relationship with the applicant.

Having an educational conflict of interest may exert a substantial and improper influence upon a faculty member or admission committee member's professional judgment in exercising learner or applicant evaluation. Faculty members with an educational conflict of interest must not evaluate a learner's (for which there exists a conflict) performance or participate in any component of academic due process for that learner. Admissions Committee Members with an educational conflict of interest must not participate in any component of the admissions process for the year in which the applicant with whom they have the educational conflict with is involved. As soon as they become aware of a potential educational conflict the faculty member must disclose this to the Associate Dean for Medical Education/Designee, Associate Dean for Graduate Education/Designee, or the Associate Dean of Graduate Medical Education/Designee. Admissions Committee Members with an educational conflict of interest must disclose this to the Associate Dean for Admissions/Designee or the appropriate admissions committee chair.

Financial Conflict of Interest

Information on faculty financial conflicts of interest is presented in the university's Policy on Outside Activities and Conflicts. 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 with external funding or otherwise required by university policy 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.

In addition to financial conflicts of interest, faculty must disclose any conflicts of commitment that arise in relation to consulting or other work done for external entities. Further information about conflicts of commitment is included in section IX above. Finally, faculty are expected to disclose any relationship (whether paid or unpaid) with foreign institutions, companies, or collaborators.

XV Grievance Procedures

Members of the department with grievances should discuss them with the Department Chair who will review the matter as appropriate and either seek resolution or explain why resolution is not possible**.** If the grievance involves the department chair or the department chair is not the appropriate contact for some other reason, the faculty or staff member should bring the matter to the attention of the Dean or a Vice/Associate Dean.

Content below describes procedures for the review of specific types of complaints and grievances.

A Salary Grievances

A faculty or staff member who believes that their salary is inappropriately low should discuss the matter with the Department Chair. The faculty or staff member should provide documentation to support the complaint.

Faculty members who are not satisfied with the outcome of the discussion with the Department Chair and wish to pursue the matter may be eligible to file an appeal with the college's Salary Appeals Committee. A formal salary appeal can also be filed with the Office of Faculty Affairs (see Chapter 4, Section 2 of the Office of Academic Affairs *Policies and Procedures Handbook*).

Staff members who are not satisfied with the outcome of the discussion with the Department Chair and wish to pursue the matter should contact Employee and Labor Relations in the Office of Human Resources.

B Faculty Promotion and Tenure Appeals

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05.

C Faculty and Staff Misconduct

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04.

Any student, faculty, or staff member may report complaints against staff to the Department Chair. The Office of Employee and Labor Relations in the Office of Human Resources can provide assistance with questions, conflicts, and issues that arise in the workplace.

D Harassment, Discrimination, and Sexual Misconduct

The Civil Rights Compliance Office exists to help the Ohio State community prevent and respond to all forms of harassment, discrimination, and sexual misconduct.

1 Ohio State's policy and procedures related to equal employment opportunity and non-discrimination/harassment are set forth in the university's policy on equal employment opportunity.
2 Ohio State's policy and procedures related to nondiscrimination, harassment, and sexual misconduct are set forth in the university's policy on nondiscrimination, harassment, and sexual misconduct.

E Violations of Laws, Rules, Regulations, or Policies

Concerns about violations of laws, rules, regulations, or policies affecting the university community should be referred to the Office of University Compliance and Integrity.

Concerns may also be registered anonymously through the Anonymous Reporting Line.

F Complaints by and about Students

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about courses and instructors to the Program Director/Chair/Division Director, they will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the Program Director/Chair/Division Director, will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the Department Chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not. See Faculty Rule 3335-8-23.

Faculty complaints regarding students must always be handled strictly in accordance with university rules and policies. Faculty should seek the advice and assistance of the Program Director/Chair/Division Director and others with appropriate knowledge of policies and procedures when problematic situations arise.

G Academic Misconduct

Board of Trustees Rule 3335-23-15 stipulates that the Committee on Academic Misconduct does not hear cases involving academic misconduct in colleges having a published honor code, although some allegations against graduate students fall under the committee's jurisdiction. Accordingly, faculty members will report any instances of academic misconduct to the appropriate Associate Dean (student life, graduate studies, graduate medical education), who will involve the Committee on Academic Misconduct, if appropriate, or will otherwise follow the Program's (Undergraduate, Graduate, Professional Graduate Medical) procedures for addressing allegations of violations of the professional student honor code.

Professional Student Honor Code

Professionals have a moral responsibility to themselves, to their patients, to their associates, and to the institution with which they are affiliated, to provide the best service possible.
Personal ethics require certain inherent elements of character that include honesty, loyalty, understanding, and the ability to respect the rights and dignity of others. Personal ethics require conscientious preparation during one's academic years for eventual professional duties and responsibilities. A continuation of the development of professional efficiency should be accomplished by observation, study, and investigation during one's entire professional life.

Strength of character should enable one to rise above prejudice in regard to race, creed, or economic status in the interest of better professional service. To maintain optimum professional performance, one should be personally responsible for maintaining proper physical and moral fitness. Finally, it must be realized that no action of the individual can be entirely separated from the reputation of the individual or of their profession. Therefore, a serious and primary obligation of the individual is to uphold the dignity and honor of their chosen profession by thoughts, words, and actions.

Academic Due Process

Academic due process involves the process by which individual student performance issues are considered for action by the faculty. This process encompasses issues related to deficiencies in knowledge skills attitudes and/or behaviors of the learner. Each academic program within the College of Medicine shall develop a program specific mechanism for ensuring academic due process of learners. Learners should refer to the program student handbook regarding the program specific process.

Challenge Related to a Grade

A student may challenge a grade only for procedural reasons. If a student believes that a procedural error in grading was made, the student should follow the specific program guidelines for grade appeals in the respective program specific student handbook that are in alignment with Faculty Rule 3335-8-23 in making an appeal. In general, the student should first meet with the instructor of the course and if the instructor does not agree that a procedural error was made, the student must meet with the Program/Division director to discuss the grade grievance. If the issue is not resolved to the satisfaction of the student, the student may request in writing a grade appeal to the Chair. If the student is not satisfied with the response from the Chair, the student may seek further review through the Vice Dean of Education.

Appendix 1. Duties and Responsibilities of the Vice-Chairs

1 **Vice-Chair of Outreach**: This position will serve as the primary point of contact for outreach related initiatives. The Vice-Chair will ensure that OSUWMC and the Department of Orthopaedics maintain a healthy relationship with key community, university and referring physician partners. In collaboration with Medical Center leadership, the Vice-Chair will seek new outreach opportunities and evaluate the potential merits and pitfalls involved. The Vice-Chair will collaborate with recruiting in seeking qualified orthopaedists to fill outreach positions.

2. **Vice-Chair of Education**: This position will serve as our primary point of contact for all matters relating to Department of Orthopaedics Education, with responsibilities and obligations to serve the needs of all learners, including, but not limited to, medical students, interns, residents, fellows, and faculty. The Vice-Chair of Education and the Residency Program Director positions may be filled by the same individual or by two different faculty members, based upon needs, qualifications, and the Chair's discretion.

3. **Vice-Chair of Clinical Operations**: This position will serve as a point of contact for such operational issues as faculty deployment and workflow, including call schedules, surgical block time, centralized scheduling, and provider templates. In collaboration with administrative leadership, efforts will prioritize access to care and the deployment of faculty and provider resources to our multiple current and future clinical sites. In this role, the Vice-Chair will advocate on behalf of faculty in matters of block time and surgical resources, including equipment and personnel needs. Importantly, the Vice-Chair of Clinical Operations will strive to optimize the Department's overall performance with regard to those metrics considered by USNWR in their annual rankings of hospitals and departments.

4. **Vice-Chair of Quality**: This position will serve as our primary point of contact for practices and procedures that impact patient safety, outcomes, and satisfaction. The Vice-Chair of Quality will also focus upon those metrics which impact reimbursement, including hospital acquired conditions, patient safety indicators, surgical site infections and other indicators as identified by the Chief Quality and Patient Safety Officer. Also, in collaboration with the Vice-Chair of Clinical Operations, the Vice-Chair of Quality will monitor and strive to optimize those performance metrics that impact our USNWR rankings. The Vice-Chair is expected to represent the Department on various medical center quality committees. The Vice-Chair will also assist learners in executing and completed quality related investigations and research projects.

5. **Vice-Chair of Finance and Compensation**: This position will have two major points of focus: the departmental compensation plan and the overall financial performance of the Department, particularly as it impacts physician compensation. In this role, the Vice-Chair will serve as the leader of the Departmental Compensation Committee to ensure that the compensation plan best incentivizes efforts and behaviors that align with the strategic vision of the Department and Medical Center as a whole. Importantly, the Vice-Chair will participate in faculty hiring as regards to starting base salary, allocation of effort, and signing bonuses. The Vice-Chair will, in collaboration with the Chair and the

Department Administrator, participate in the identification, creation, and approval of faculty retention packages. The Vice-Chair will also, on an as needed basis, represent the Department at OSUP Compensation Committee meetings in support of plan exceptions and modifications to ensure fair compensation for our faculty. The Vice-Chair will serve as a point of contact for faculty with concerns regarding their compensation. The Vice-Chair will serve as a standing member of the Departmental Recruiting Committee.

6. **Vice-Chair of Research**: This position is reserved for a full-time PhD faculty member for whom the Department of Orthopaedics is their tenure-initiating unit. This individual's responsibilities include the creation of a departmental research budget with quarterly reports regarding expenditures, grant income, research funding, and philanthropic gifts. The Vice-Chair will oversee accounting for research-related expenses, including research space rental, laboratory equipment acquisition and maintenance, and salary expenses. The Vice-Chair will be responsible for Grant writing, and awards applications. The Vice-Chair will be responsible for coordinating resident and fellow research activities, including organizing and judging for the Mallory-Coleman Resident Research Day. The Vice-Chair will assist in securing and budgeting for consulting services such as statisticians. The Vice- Chair will assist in the creation, optimization, and maintenance of local and national registries in which the Department participates. The Vice-Chair will collaborate with the Publications Manager and the Research Compliance/ IRB manager. The Vice-Chair will serve as a standing member of the Departmental Recruiting Committee.

7. **Vice-Chair for Community Health Access and Engagement** : The Vice Chair for Community Health Access and Engagement will lead strategic initiatives to strengthen the Department of Orthopaedics, in connection with the community. This role is responsible for fostering meaningful partnerships with local health organizations; promoting community health education; and facilitating faculty, staff, and learner participation in community engagement activities. The Vice Chair will serve as a key liaison between the Department and the broader community, ensuring alignment with institutional goals for access and public service. The Vice-Chair will serve as a standing member of the Departmental Recruiting Committee.

8. **Vice-Chair of Faculty Affairs:** The Vice Chair for Faculty Affairs supports the Chair and Division Chiefs in faculty development, mentoring, and academic promotion, acting as the main departmental advocate for initiatives including: educating, inspiring, and assisting faculty to achieve their professional goals; promoting faculty recruitment, development, and retention; assisting in the onboarding of new faculty members; serving as Chair of the Appointments, Promotions, and Tenure Committee; familiarizing faculty with our departmental APT document and assisting them in choosing the most appropriate pathway for academic promotion; assisting in monitoring faculty progress toward promotion; advising the Chair regarding faculty development priorities and the resources needed; overseeing departmental appointments, promotion, and tenure review processes to ensure compliance with college and university policies, overseeing the departmental Appointments, Promotion, and Tenure document and managing revisions, as needed, and ensuring that the document is kept up to date and aligned with the College of Medicine and University Office of Academic Affairs policies; assisting in

maintaining the departmental Pattern of Administration current and assisting in updating and revising it as needed; and working collaboratively with the Division Chiefs, other Vice Chairs, and the Chair to promote faculty professionalism and address any faculty professionalism concerns.

9. **Administrative Vice-Chair:** An Administrative Vice-Chair is elected by the Executive Committee for a term of 3 years, with eligibility for re-election. The role of the Administrative Vice-Chair is to assume the roles and responsibilities of the Chair in the event of the Chair's temporary unavailability, or until such time that the Dean chooses to proceed with the appointment of an Interim Chair and to initiate the search for a new Chair.

Appendix 2. Functions, Responsibilities, and Procedures of the Faculty Recruiting Committee.

When hiring a new faculty member, the Faculty Recruiting Committee will adhere to the SHIFT Framework for faculty recruitment. Accordingly, the committee's procedures are as follows.

- The Division Chief who perceives the need to hire additional faculty will share that need with the Faculty Recruiting Committee to ensure that the conditions for adding additional faculty have been met.
- The Division Chief may ask one or more division members to assist in the recruitment process. The Division Chief and their colleagues thus comprise the search committee (see the departmental Appointment, Promotion and Tenure document Section IV.B) for this particular search.
- The SHIFT Framework for faculty recruitment requires that the appointment of all compensated tenure-track, clinical, research, and associated faculty, irrespective of rank, be based on a formal search process (see the departmental Appointment, Promotion and Tenure document Section IV.B). As required, all faculty positions will be posted in Workday, the university's system of record for faculty and staff. Formal interviews are required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in Workday to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.
- In alignment with SHIFT, the search committee assists in the screening of applicants responding to the faculty posting and brings satisfactory candidates to the Recruiting Committee. The Division Chief and the division members assisting in the recruitment process then join with the Faculty Recruiting Committee to conduct virtual and/or in-person interviews of the pool of candidates remaining after initial screening.
- Upon completion of the interviews, the standing Recruiting Committee and the recruiting division's members collaborate to select the best qualified candidate.

When hiring a new faculty member, in addition to the SHIFT Framework for faculty recruitment, the Faculty Recruiting Committee will adhere to the Best Practices for College of Medicine Searches as well as the following guidelines:

1) The choice of the Recruiting Committee and the recruiting division's members, approved by a majority vote, will serve as a recommendation to the Department Chair.
2) The offer will be extended to the approved candidate, and they will be given 2 weeks to reply unless extenuating circumstances make an extension reasonable.

If the candidate declines or cannot accept the offer, then the offer will be extended to the next candidate on the list. Alternatively, the Recruiting Committee may elect to re-open the search. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance faculty quality. The search is either cancelled or continued, as appropriate to the circumstances.