Patterns Of Administration for

The Ohio State University

Department of Pediatrics

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I. INTRODUCTION

This document describes the organization, patterns of administration, policies and procedures affecting activities of the faculty of the Department of Pediatrics of The Ohio State University College of Medicine. This document is a supplement to University and College rules and cannot conflict with the University or College, whose statutes, rules, and policies supersede statements presented herein. A description of the Department rules regarding appointments and promotions is presented in a separate document, The Department of Pediatrics Appointments, Promotion and Tenure Document. In addition, certain additional policies and procedures, regulations and employment benefits of the faculty are administered by Nationwide Children's Hospital and the Pediatric Academic Association (PAA), the practice plan of the Department of Pediatrics.

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, including review at Department meeting and sharing via electronic mail. 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 MISSION

Mission Statement*:* The mission of the Department of Pediatrics is to promote excellence in teaching, research, academics, advocacy, and administrative service and to provide the most effective, efficient, and compassionate medical care, promoting equal access to health care.

The Department assures that its Policy on Faculty Duties, Responsibilities, and Workload, included in this document (see Section X), is consistent with this mission and its criteria for appointments, promotion, and tenure, merit salary, and other rewards.

III. VALUES

Shared values are the commitments made by the College's community regarding how work will be conducted. Our values in the College of Medicine include:

- Inclusiveness
- Determination
- Empathy
- Sincerity
- Ownership
- Innovation

We also embrace Nationwide Children's Hospital values. As one team we:

- Do the right thing.
- Create a safe day every day.
- Promote health and well-being.
- Are agile and innovative.
- Get results.

The Department of Pediatrics operates on the premise that all faculty and staff have unique talents that contribute to the pursuit of excellence and further our ambition. Faculty, staff, and trainees are expected to set a high example of collegiality in the workplace, with respect for personal boundaries. They must avoid behaviors that interfere with or adversely affect a community member's ability to learn, carry out research, care for patients or fulfill the individual's professional responsibilities. This interaction may be seen in the creation of our learning environment, research collaborations, co-authorship of publications, team approach to clinical practice including health and wellness, sharing of innovative ideas in committee meetings, community, and industry outreach. Faculty members are expected to offer mentorship within the entire learning community, including mentorship to faculty colleagues.

The Department of Pediatrics supports the free exchange of ideas and opinion and expects faculty, staff, and students to promote these values and apply them in a professional manner in all academic endeavors and interactions within and representing the College.

All faculty, staff, and trainees should work toward establishing and maintaining a team culture and an enriching and open intellectual working and learning environment. The department is committed to evaluating the practice of these core values as part of all performance evaluations.

Policy and program decisions will be made by the Chair, with consultation and discussion with the Vice Chairs, the Division Chief, Center Directors, by the Department as a whole, and with the advice of standing or ad hoc Departmental committees. Departmental decision making seeks to strike a balance between assuring active and meaningful involvement of the faculty in governance and recognizing that the Chair, on behalf of the College of Medicine and Nationwide Children's Hospital, has ultimate responsibility for the Department's administration. Whenever possible, policy and program decisions in the Department will be based on the principle of majority rule.

IV. ACADEMIC RIGHTS AND RESPONSIBILITIES

The Department of Pediatrics embraces the University's statement and reaffirmation of academic rights and responsibilities found at this link -- reaffirmation. University Faculty Rule 3335-5-01 articulates the key elements of faculty academic freedom and responsibilities.

V. FACULTY AND VOTING RIGHTS

A. Faculty Appointments

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.

Faculty membership in the Department of Pediatrics is granted by the Board of Trustees, upon agreement by the Dean of the College of Medicine and Executive Vice President and Provost of the University. The President of the University and the Dean of the College of Medicine are members of the faculty of the Department of Pediatrics, in accordance with the University rules.

The faculty shall include persons appointed by the Board of Trustees of The Ohio State University with tenure, clinical, research, associated and emeritus faculty titles on full or part-time appointments, with or without salary. The criteria for appointment, promotion, and tenure in the Department of Pediatrics are described in a separate document, The Department of Pediatrics Appointment, Promotion and Tenure Document.

Faculty may hold one of the following ranks at a given time:

Tenure track Faculty

Tenure-track faculty are persons with the titles of professor, associate professor, assistant professor, or instructor who serve on appointments totaling fifty per cent or more service to the University. Tenure-track faculty have no limitations for participation or voting in University, College, or Department governance.

Clinical Faculty

Clinical faculty are persons with the title of clinical professor, associate clinical professor, assistant clinical professor, or clinical instructor who serve on appointments totaling fifty per cent or more service to the University. There is no cap on the number of clinical faculty the department may appoint. Clinical faculty members are not eligible for tenure. Clinical faculty members may vote in all matters of departmental governance except that clinical faculty appointed to the department's Appointments, Promotion, and Tenure Committee may not vote on tenure track appointment, promotion and tenure decisions or research appointment, reappointment, and promotion decisions. Any clinical faculty member appointed by the department may stand for election to serve as a representative in the University Senate subject to representation restrictions noted in Faculty Rule 3335-7-11(C)(2).

Research Faculty

Research faculty are persons with the title of research professor, research associate professor, or research assistant professor who serve on

appointments totaling fifty per cent or more service to the University. Research faculty members are not eligible for tenure. Unless otherwise authorized by a majority vote of the tenure- track faculty in the department, research faculty must comprise no more than twenty per cent of the number of tenure-track faculty in the unit. In all cases, however, the number of research faculty positions in a unit must constitute a minority with respect to the number of tenure-track faculty in the unit. Research faculty members may vote in all matters of departmental governance except personnel decisions. Research faculty are eligible to serve on university committees and task forces but not on the department's Appointments, Promotion, and Tenure Committee or university governance committees.

Associated Faculty

Associated Faculty, as defined in the *Rules of the University Faculty* 3335-5-19 (D), include "persons with clinical practice titles, adjunct titles, visiting titles, and lecturer titles." Persons with a tenure-track faculty title on an appointment of less than 50% FTE are associated faculty. Associated faculty with a minimum FTE or 50%, with the exception of visiting faculty, may vote in all matters of departmental governance except personnel decisions. 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.

Associated faculty appointments may be as short as a few weeks to assist with a focused project, a semester to teach one or more courses, or for up to three years when a longer contract is useful for long-term planning and retention. In accordance with the rules of the University, associated faculty are not eligible for tenure.

Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule 3335-5-36. Emeritus faculty are 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 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.

VI. ORGANIZATION OF DEPARTMENT SERVICES AND STAFF IN CONTEXT OF NATIONWIDE CHILDREN'S HOSPITAL LEADERSHIP

Executive Leadership

Chief Executive Officer
Chief Operating Officer
Chief Medical Officer
Executive Vice President, Chief Financial/Administrative Officer
Physician-in-Chief
President, The Research Institute
Surgeon-in-Chief
Senior Vice President and Chief Nursing Officer
Chief Quality Officer
President, The Center for Family Safety and Healing
President, Nationwide Children's Foundation

Department and Division Chiefs

Department of Pediatrics	Division of Gastroenterology, Hepatology & Nutrition
Division of Adolescent Medicine	Division of Hematology & Oncology
Division of Allergy & Immunology	Division of Infectious Diseases
Division of Primary Care Pediatrics	Division of Genetics & Genomic Medicine
Division of Cardiology	Division of Neonatology
Division of Child Abuse Pediatrics	Division of Nephrology
Division of Clinical Informatics	Division of Neurology
Division of Complex Care	Division of Psychology
Division of Critical Care	Division of Pulmonary Medicine
Division of Dermatology	Division of Rheumatology
Division of Developmental & Behavioral Pediatrics	Division of Sports Medicine
Division of Emergency Medicine	Division of Toxicology
Division of Endocrinology	Division of Urgent Care
Division of Hospital Pediatrics	

VII. OVERVIEW OF DEPARTMENTAL DECISION- MAKING

As noted in Section III, policy and program decisions are made in a number of ways: by the departmental 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. Departmental 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.

VIII. DEPARTMENT ADMINISTRATION

A. Chair of Department

The Department Chair is the administrative head of the Department and represents the faculty of the Department to the Dean of the College of Medicine and the University administration. Ideally, all departmental policy and programmatic decisions will be made with input by faculty of the Department as a whole or by standing or special committees of the Department's faculty.

Duties of the Chair of the Department:

The primary responsibilities of the Department Chair are set forth in Faculty Rule 3335-3-35. 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. A copy of this document will be distributed to Department faculty, the Dean of the College of Medicine, and the Executive Vice President and Provost of The Ohio State University.

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. Provide dates of faculty meetings sufficiently early to permit scheduled adjustments. The Chair will provide written notice, when possible, of changes in the schedule of faculty meetings.

4. Maintain a record of all faculty meetings, and to maintain records of all other actions covered by the Patterns of Administration.

5. Recognize in principle the presumption favoring majority rule on all matters covered by the Patterns of Administration. It is the responsibility of the Chair to communicate to the faculty the reason(s) for any departure from a decision of the faculty majority, in writing, or through a

meeting of the faculty as a whole, with opportunities for the faculty to comment. Whenever possible, the reasons will be communicated before the departure occurs.

6. Establish and review Divisions and Centers.

7. Appoint, review, and reappoint or replace Vice Chairs, Division Chiefs and Center Directors, directly or through a designee.

8. Assure the equitable distribution of instructional, scholarship and service assignments by the Division Chiefs and Center Directors.

9. Prepare, after consultation with the faculty and in accordance with the Patterns of Administration, a document describing the Appointment, Promotion and Tenure Criteria and Procedures for tenure-track, clinical, research and associated faculty, according to which recommendations are made concerning appointments and/or dismissals, salary adjustments, promotions in rank, and matters that affect the tenure of the faculty. A copy of this document will be distributed to Department faculty, the Dean of the College of Medicine, and the Executive Vice President and Provost of The Ohio State University. At the beginning of each four-year term of the Department Chair, the members of the Department, the Dean of the College of Medicine, and the Executive Vice President and Provost shall receive either a revision or reaffirmation of the original document.

10. Operate the business of the Department productively and efficiently.

11. Assign workload according to the department's workload guidelines (see Section X) and faculty appointment type (and rank) and continuously evaluate and improve the Departmental instructional, research, clinical and administrative processes, and outcomes.

12. Evaluate the performance of faculty members yearly in accordance with the Faculty Annual Review, Post-Tenure Review, and Reappointment Policy and procedures set forth in this department's Appointments, Promotion and Tenure Document and subject to guidelines from the Executive Vice President and Provost, and according to any supplemental criteria set up by the Department of Pediatrics or College of Medicine. The performance evaluations may be done by the Chair or by a designee, including but not limited to the Vice Chair for Academic Affairs, the faculty member's Division Chief, or Center Director.

13. 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.

14. Encourage research, teaching academics and original investigation.

15. Maintain a curriculum vitae for all personnel teaching a course in the department's curriculum.

16. Ensure all faculty members, regardless of their assigned location, are offered the Departmental privileges and responsibilities appropriate to their rank and past performance.

17. Nurture high level of morale among Departmental faculty members.

18. Maintain an outstanding faculty development program that ensures faculty reach their maximum professional potential.

19. Prepare an annual budget for the consideration of the Dean of the College of Medicine.

20. Promote a discipline of continuous improvement of instruction by providing for the evaluation of each course, curriculum, or lecture, including written evaluation by students and residents of the course and instructors, as well as periodic course review by the faculty.

21. Facilitate and participate in prescribed academic program review processes, in collaboration with the dean of the college and the Office of Academic Affairs.

22. Recognize the role of the Vice Chairs, Division Chiefs and Center Directors in assigning duties and responsibilities to faculty members in instruction, scholarship, and service, but to maintain final responsibility for this duty.

23. Appoint standing committees, and ad hoc committees to meet Departmental needs. To select committee members and a chair for each committee based on expertise, interest, workload, and rank.

24. Communicate, collaborate, and promote effective interchange among peer Department Chairs.

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 these Patterns of Administration, 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 departmental 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. Vice Chairs of the Department of Pediatrics

The Department will have Vice Chair positions as needed. Appointment of the Vice Chair(s) shall be made by the Department Chair. The Department Chair has the final responsibility for academic, clinical and research policies and decisions of the Department. However, in the absence of the Chair, such responsibilities may be delegated. The Vice Chair(s) will be responsible for all duties assigned by the Chair. Evaluation of Vice Chair(s) shall be done on an annual basis by the Department Chair. Each Vice Chair will serve for a term of four years and shall be eligible for

reappointment. Each Vice Chair will be reviewed at the conclusion of the fourth year of their term. Such review(s) will be conducted by the Department Chair and will be based on the results of preceding annual reviews.

Senior Vice Chair
Vice Chair, Education
Vice Chair, Academic Affairs
Vice-Chair, Research
Vice Chair, Faculty Professionalism and Development
Vice Chair, Clinical Operations

C. Division Chiefs and Center Directors

Division Chiefs and Center Directors are selected and appointed by the Department Chair. They serve at the discretion of the Chair. The performance of each Division Chief and Center Director is reviewed on a yearly basis by the Department Chair, or a designee. Broadly, their duties include:

- Equitable assignment of teaching, research, clinical, and administrative assignments to faculty within their Division or Center;
- Evaluation, facilitation, and promotion of career development of their Division or Center faculty;
- Annual performance evaluation and academic reviews of the Division or Center faculty to forward to the Vice Chair for Academic Affairs and to the Department Chair;
- Lead Divisional and Center faculty recruitment and development;
- Develop a Division or Center budget for approval by the Chair or the Chair's designee;
- When appropriate, develop and maintain an approved fellowship program;
- Support superior teaching, education and mentoring to students and trainees at all levels.

D. Department Committees

Appointments to standing committees and the appointment of the chairs of these committees shall be made by the Chair of the Department. The normal term of office for standing committees will be three years, but faculty are eligible for reappointment if the efficiency and effectiveness of the committee will be enhanced. The committee chair is responsible for organizing the committee calendar. The frequency of meetings will be related to the purpose of the committee. Each committee establishes operating policies and procedures consistent with the committee's objective, in accordance with the rules of the Department, College and University.

1. Appointments, Promotions and Tenure Committee

Committee members are asked to advise faculty members on the development of an OSU dossier for evaluation for promotion and tenure and advise the Department Chair on general matters of appointment, promotion, and tenure, as requested. The committee reviews dossiers to makes sure

accomplishments of all candidates are clearly characterized and prepares an analysis of each candidate's dossier. Other duties are described in the Department's Appointments, Promotion and Tenure document.

The Department of Pediatrics Appointments, Promotion and Tenure (APT) Committee will represent the eligible faculty of the Department of Pediatrics. The Vice Chair for Academic Affairs serves as chair of the committee and presides over committee meetings, assigns reviewers, and oversees committee voting. If the Vice-Chair for Academic Affairs is a non-tenure track professor, a tenure track professor will serve as co-chair and share responsibility for committee leadership. The tenured faculty member will chair the Committee for tenure reviews and only tenure track faculty members may vote on decisions regarding tenure track faculty. The committee will consist of a minimum of 30 rotating faculty members on both the tenure-track and clinical faculty at the rank of Professor. Members must have their tenure home or primary appointment in the department. The department chair, the dean and assistant/associate/vice deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members. The Chair of the Department of Pediatrics will appoint members to the committee for a 3-year period. Members may serve two consecutive terms. All eligible faculty in the Department will be provided access to the promotion dossiers upon request and can forward comments to the APT Committee Chair for consideration.

2. Housestaff Committee

Residency program directors and associate program directors are responsible for the day-to-day management of the Department's residency program according to rules, regulations, and advisories of the Accreditation Council of Graduate Medical Education. The program directors are members of the Housestaff Committee and along with approximately 20 faculty members interview pediatric house staff candidates and determine in conjunction with the Department Chair candidate rankings for the national residency selection program. The committee also evaluates and makes recommendations to the Department Chair regarding recruitment methods and procedures, and as requested by the Chair, develops new recruitment techniques.

3. Medical Student Committee

The Medical Student Committee evaluates and makes recommendations to the Department Chair or designee regarding the Ohio State University College of Medicine curriculum, student performance and faculty teaching skills, in accordance with the goals of the Department, College, and University. This committee is comprised of Rotation Directors and the Medical Student office leadership – approximately 30 members.

IX. FACULTY MEETINGS

Departmental faculty meetings will be held quarterly or more often at the discretion of the Chair for informational purposes as well as discussions leading to policy decisions on academic affairs, teaching, research, and service issues. Topics covered in the meeting will be comprised of issues brought forth from the Department Chair and Vice Chairs, Departmental instructional units, various committees and program, representatives of University committees, and faculty members who wish to raise items for discussion. A request for agenda items is made 2-4 weeks in advance of the

meeting and the final agenda is distributed prior to the meeting by email. Because of the large size of the department, the Department Chair is responsible for distributing minutes of these meetings in the form of PowerPoint presentations. Corrections and amendments are made by email request when minutes are distributed.

All professors, associate professors, assistant professors, and instructors who hold appointments and all associated faculty who are compensated by the Department will be invited to the Department faculty meetings. Faculty who hold secondary appointments in the Department of Pediatrics, and administrative staff person(s) also may be invited to Department faculty meetings.

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 departmental 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 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 of all faculty members present at the meeting and eligible to vote. Balloting will be conducted by e-mail when necessary to assure maximum participation in voting. When conducting a ballot by 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 departmental 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.

X. DISTRIBUTION OF FACULTY DUTIES, RESPONSIBILITIES, AND WORKLOAD

Faculty roles and initial responsibilities are described in the initial letter of offer. Workload assignments and expectations for subsequent years are addressed as part of the annual review by the department chair and these may differ from any workload assignment described in the letter of offer. Specific requirements relating to faculty workload are articulated in the Faculty Appointments, Workload, Tenure, and Retrenchment policy and the Faculty Workload Standards and Guidelines.

During on-duty periods, faculty members are expected to be available for interaction with students, research, and departmental meetings and events even if they have no formal assignment. On-duty faculty members should not be away from campus for extended periods of time unless on an approved leave or on approved travel.

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.

Each research, academic and clinic program within the Department of Pediatrics is expected to be productive across the spectrum of their specific mission. It is the responsibility of the Division Chief or Center Director to ensure that an appropriate balance of activities is maintained to meet Departmental expectations.

The guidelines outlined here do not constitute a contractual obligation. Fluctuations in demands and resources within the Department and individual circumstances of faculty members may warrant temporary deviations from these statements.

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 wish to engage in outside activities during on-duty periods (including teaching at another institution; conducting research for an entity outside of Ohio State; external consulting) must submit an Outside Activities Approval Form and obtain approval from the department chair before engaging in any outside activities. Information on faculty conflicts of commitment is presented in the university's policy on outside activities.

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 consider the impact over time of the crisis. These adjustments may include modifying research expectations to maintain clinical or teaching obligations. These assignment changes must be considered and documented in annual reviews.

Faculty members who do not meet expectations (as determined by unit annual review processes) may be subject to disciplinary action for failing to meet faculty obligations pursuant to Faculty Rule 3335-5-04.1. See Section I.A of the Faculty Annual Review, Post-Tenure Review, and Reappointment policy.

A. Tenure-track Faculty

Tenure track faculty are primarily engaged in the discovery and dissemination of new knowledge through research. All tenure track faculty are engaged in teaching, and the nature and scope of teaching responsibilities and workload vary based on other aspects of tenure track faculty workload. Tenure track faculty may engage in classroom, clinical-based, and/or research-based teaching as described below. Tenure track faculty are also expected to contribute to service and may take on administrative roles.

Teaching

All tenure-track faculty are expected to contribute to teaching, including undergraduates, graduate, medical student, resident, fellow or continuing medical education instruction for which they receive formal evaluations on an annual basis. The teaching expectation may vary for individual faculty members based on their research and/or service activity. Faculty members who are especially active in research may be assigned an enhanced research status that includes a reduced 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 for a specified and limited period of time.

The Department expects: (1) faculty members will receive written evaluations of their teaching effectiveness by students at least once each year, (2) the evaluations shall be distributed and collected by impartial parties such as the directors of the Departmental student and residency programs, and (3) the evaluations will be transmitted to the Department Chair or their designee(s) for use in the annual performance reviews.

Scholarship

All tenure-track faculty members are expected to be engaged in scholarship as defined in the Department's Appointments, Promotion, and Tenure Document. Scholarship is broadly defined as the discovery and dissemination of new knowledge by research, study, and learning. In the College of Medicine, a faculty member's scholarship must be demonstrated to be of high quality, significance, and impact. Recognition of the scholarly work must also be external to the University, residing in the scientific communities apropos to the faculty member's field of scholarship. The Department's Appointments, Promotion and Tenure Document specifically outlines how evidence of a faculty member's scholarship will be documented and assessed in terms of quality and significance.

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 to support at least 50% of salary (up to the NIH cap). Faculty members are also expected to seek appropriate opportunities to obtain patents and engage in other commercial activities stemming from their research.

Service

Faculty members are expected to be engaged in service and outreach to the Department, university, profession, and community. This pattern can be adjusted depending on the nature of the assignment (e.g. service as committee chair, service on a particularly time-intensive committee, organizing a professional conference, leadership in an educational outreach activity, service in an administrative position within the Department, college, or university).

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

Service loads should be discussed and agreed to during annual performance and merit reviews. When heavy service obligations are primarily volunteer in nature, the Department Chair is not obligated to modify the workload of the faculty member. 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, considered when distributing the faculty member's other duties, and taken into account for the AMC Process.

B. Clinical Faculty

The Department of Pediatrics appoints clinical faculty who focus principally on the clinical needs in the Department of Pediatrics. Clinical faculty focus primarily on outstanding teaching, research, and delivery of exemplary clinical care. All clinical faculty are engaged in teaching, and the nature and scope of teaching responsibilities and workload vary based on other aspects of clinical faculty workload. Clinical faculty may engage in classroom, clinical-based, and/or research-based teaching as described below. In consultation with their leadership, clinical faculty may pursue a varied distribution of workload among clinical care, teaching, research, and service.

All clinical faculty (except those on the clinical excellence pathway) and are expected to participate in some form of undergraduate, graduate, medical student, resident, fellow, or continuing medical education instruction for which they receive formal evaluations on an annual basis. Teaching assignments are determined by the Division Chiefs and/or Center Directors in a coordinated manner with the directors of the Department student and residency/fellowship programs.

The Department expects: (1) faculty members will receive written evaluations of their teaching effectiveness by students and other learners at least once each year, (2) the evaluations shall be distributed and collected by impartial parties such as the directors of the Departmental student, residency, and fellowship programs, and (3) the evaluations will be transmitted to the Department Chair or their designee(s) for use in the annual performance reviews.

Clinical faculty on the clinician educator and clinician scholar pathways are expected to participate in scholarly activities. Scholarship is broadly defined as the discovery and dissemination of new knowledge by research, study, and learning. In the College of Medicine, a faculty member's scholarship must be demonstrated to be of high quality, significance, and impact.

Clinician scholar pathway faculty members must develop a sustained record of scholarship that is documented by a body of original work. The evidence for scholarship must refer to original, substantive works that are documented achievements. Recognition of the scholarly work must also be external to the University, residing in the scientific communities apropos to the faculty member's field of scholarship. The Department's Appointments, Promotion and Tenure Document specifically outlines how evidence of a faculty member's scholarship will be documented and assessed in terms of quality and significance.

All clinical faculty members are expected to participate in service to the Department of Pediatrics, Nationwide Children's Hospital and/or The Ohio State University, and to the profession of medicine. Service is broadly defined to include administrative service to the University, exemplary patient care, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. In the College of Medicine, a candidate's service

contributions must be demonstrated to be of high quality and effectiveness. All clinical faculty members must contribute to service as evidenced by documentation of contributions over a sustained period.

C. Research Faculty

Research faculty members are expected to contribute to the university's mission primarily via research. Research faculty may engage in teaching (e.g., supervising students and trainees in the context of research) and service (e.g., COM, unit, or university service) on a limited basis. In general, research faculty are expected to recover 90-95% of their salary from extramural research funds.

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 TIU'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.*

Research faculty expectations for research are similar to those for the tenure-track, albeit proportionally greater since standard workload expectations for full-time research faculty members are 5-10% teaching (student mentoring), 90-95% research, and 5-10% service, depending on specific expectations as spelled out in the letter of offer.

D. Associated Faculty

Associated faculty include unpaid adjunct faculty, paid or unpaid associated faculty with clinical practice appointments, lecturers and senior lecturers, faculty with tenure track titles < 50% full time employment, visiting faculty, and returning retirees. Workload for associated faculty varies and is described in faculty contracts depending on the needs of the Department and expectations for each faculty member.

Expectations for compensated visiting faculty members will be based on the terms of their appointment and are comparable to that of tenure-track faculty members except that service is not required.

The Department of Pediatrics will follow all university policies regarding determining associated faculty FTE exceptions to the Faculty Appointments, Faculty Workload, Tenure, and Retrenchment Policy.

E. Guidelines for Faculty Workload by Faculty Appointment Type

The Department of Pediatrics' guidelines for faculty workload align with the College of Medicine Faculty Workload Guidelines approved by the University Office of Academic Affairs. The percentages below differ from the percentages presented in the university's Faculty Workload Standards and Guidelines to align with sources of funding for faculty activities. Sources of funding for faculty activities include research buyouts (e.g., obtaining external funding from federal, private, industry, foundational, and other sources), clinical time allocations, and administrative responsibilities.

For clinical faculty who are actively engaged in translational, clinical, health services, and other forms

of patient-oriented research, and who thereby make substantive contributions to scholarship, the proportion of effort devoted to research may appropriately extend beyond the teaching emphasis defined in the Faculty Rules (Chapter 3335-7). In alignment with the OSU Faculty Rules and College of Medicine's faculty definitions, such faculty may be classified or evaluated where translational, clinical, health services, and other forms of research are recognized as a major component of academic contribution. Research effort should therefore be explicitly documented and supported according to the criteria outlined in the Department's Appointments, Promotion & Tenure (APT) document.

Faculty Type	Teaching	Research	Clinical Care	Service/Administration
Tenure track without clinical responsibilities	5-50%[a]	30-90%	0%	5-20%
Tenure track with clinical responsibilities	5-40%[a,b]	30-85%	15-60%	5-20%
Clinical	5-75%[b]	0-40%	25-95%	0-25%
Research	5-10%	90-95%	0%	5-10%
Associated	5-100%	0-20%	0-95%	0-20%
[a] Includes research-based teaching workload described below [b] Includes clinical-based teaching workload described below				

1. Teaching

Department of Pediatrics faculty teach and mentor a variety of learners, including undergraduate students, graduate students, medical students, residents, fellows, post-doctoral scholars, and other faculty. Faculty teach and mentor learners in a variety of arenas, including classrooms, research laboratories and centers, and various clinical settings. Faculty teaching and mentoring often comprises working with learners outside of classrooms, such as research mentoring, clinical teaching, and other activities.

Classroom Teaching: Department of Pediatrics faculty classroom-based teaching includes but is not limited to:

- Teaching assigned courses for credit
- Revising materials for an existing course or developing materials for a new course
- Advising (e.g., meeting with students) and grading
- Chairing or serving on committees for student theses and dissertations
- Supervising and mentoring student, fellow, and post-doctoral scholar research projects, independent studies, practical experiences, and other academic activities
- Academic advising for students
- Mentoring, including mentoring for individual training, career development, and other awards

- Other activities that support the success of students, trainees, and faculty (e.g., individual longitudinal career mentoring, coaching, etc.)

Some faculty also have administrative educational roles that involve or include classroom-based teaching. These efforts must also be considered in the teaching workload. Examples of such administrative educational roles include, but are not limited to:

- Residency or fellowship program director
- Research center or institute education director
- Vice chairs and/or associate chairs for education
- Course directors (i.e., Parts I-IV of the medical student curriculum)
- Admissions directors
- Directors of unit undergraduate or graduate programs
- Directors of institutional research training awards
- Leadership roles in COM educational units (e.g., Biomedical Sciences Graduate Program, Doctor of Medicine Program)
- Other administrative educational roles that support learners

Clinical-Based Teaching: Clinical teaching occurs when faculty with clinical responsibilities (e.g., tenure track, clinical, and associated faculty) teach, precept, supervise, or evaluate learners in the clinical setting. This includes medical students, residents, fellows, and other health sciences students/trainees. In general, clinical teaching can constitute approximately 10%-40% of a faculty member's *clinical workload*. However, the workload for clinical teaching for COM faculty with clinical responsibilities will vary based on the type of faculty appointment and nature and scope of their clinical responsibilities.

Research-Based Teaching: Research-based teaching for faculty engaged in research occurs when faculty teach and mentor learners during research activities. This includes undergraduate students, graduate students, medical students, post-doctoral scholars, and other learners. For example, many faculty engaged in research serve as the Principal Investigator of a research laboratory or lead a research center where they teach and mentor learners in the context of research. In general, research-based teaching can constitute approximately 10%-30% of a faculty member's *research workload*. However, the workload for research-based teaching for faculty engaged in research will vary based on the type of faculty appointment and the nature and scope of their research responsibilities.

2. Research

The COM broadly defines scholarship (i.e., research) as the discovery and dissemination of new knowledge. Faculty engage in research ranging from basic science to clinical and translational research, scholarship of education, and other areas relevant to the mission of the COM and/or Department of Pediatrics. Research includes but is not limited to leading or collaborating on research studies, disseminating research findings (e.g., publishing peer-reviewed articles, presenting research at meetings and conferences, invited research presentations), preparing and submitting applications for research funding from federal, private, industry, institutional, and other sources, leading research laboratories and teams, directing research activities at research institutes and centers, developing intellectual property, and other activities.

3. Clinical Care

Department of Pediatrics faculty with clinical responsibilities (e.g., tenure-track, clinical, and associated faculty) engage in patient care. This includes patient care in university and university-affiliated hospitals, outpatient facilities and other settings. The scope and nature of clinical workload vary based on the type of faculty appointment and faculty members' workload with respect to teaching, research, and service.

For clinical and associated faculty, patient care workload and responsibilities are established in their letters of offer and expectations are discussed at every annual review.

4. Service

Faculty may engage in service to their Department, the COM, the university, their research and/or clinical disciplines, and the broader community. Examples of faculty service to their Department, the COM, and the university include but are not limited to committees, working groups, and task forces that advance the academic mission of these respective groups. Examples of faculty service to their research and/or clinical disciplines include service to academic and professional societies (e.g., leadership roles, committees), peer review activities (e.g., for journals, grant applications, fellowship applications), advisory roles for government agencies and clinical organizations, and other service activities.

Faculty members also take on administrative workload and leadership responsibilities that constitute service. These include but are not limited to:

- Department roles, such as Department Chair, Vice Chair, and Associate Chair
- Division roles, such as Division Director, Division Chief, and Section Chief
- COM roles, such as Vice Dean, Associate Dean, and Assistant Dean
- Program Director
- Center/Institute Director

Typically, assumption of such administrative responsibilities requires commensurate reduction of expectations for teaching, clinical care, research, and/or other service based on the nature and scope of administrative responsibilities and appointment type.

5. Joint Appointments

Joint appointments between the Department of Pediatrics and another TIU are created for the mutual benefit from the faculty member's expertise that advances the teaching, research, and/or clinical missions of the respective units. These positions share FTE and salary support across units. The COM expectation is that TIUs assign faculty workload proportional to the faculty member's appointment (FTE) in their TIU and that TIU leaders work with faculty members during annual reviews to define workload and responsibilities for the coming year.

F. Modification of Duties

The Department of Pediatrics 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 OHR Parental Care Guidebook and the college pattern of administration and the Parental Leave Policy in Section XIII for details.

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.

XI. COURSE OFFERINGS, TEACHING SCHEDULES, AND GRADE ASSIGNMENTS

Division Chiefs and Center Directors are responsible for the assignment of didactic lectures and other teaching germane to their discipline. Excellence is expected. The Director of Medical Student Education arranges for faculty to provide didactic lectures and clinical teaching that is custom designed annually for Ohio State University medical students. The Directors of the Pediatric and Internal Medicine/Pediatric residency programs arrange for faculty to provide didactic lectures and clinical teaching that is designed for residents. Fellowship programs do the same for their trainees.

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.

XII. 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 departmental budget at least annually with the division chiefs 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.

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.

Department of Pediatrics physicians, scientists and other faculty members receive an Academic Enrichment Fund per year along with other substantial support for items such as licensure fees, board certification fees and certain association fees, as listed below. The amount is prorated based on a physician's FTE status. Funds may cover expense such as annual membership fees; recertification review course fees, books, conferences, and webinar fees, travel, lodging, and meals to attend scientific conferences.

In addition to Academic Enrichment Funds, the PAA reimburses physicians for eligible business-related expenses. Separately, the Department pays for Ohio Medical License, other State Medical License if requested by the department, DEA License, PALS Certification, Nationwide Children's Hospital Medical Staff Dues and Fees, The Ohio State University Medical Center Medical Staff Dues and Fees (if applicable), other Hospital Staff Dues and Fees (if the physician is asked to practice in another hospital), Board certification and recertification exams fees, American Academy of Pediatrics (AAP) annual membership dues or other society annual membership dues in lieu of the AAP, parking at OSUMC and other locations when performing specific job duties, mileage reimbursement for personal vehicle used in business related travel outside of the greater Columbus area based upon the IRS limit at the time the travel occurred, faculty recruiting expenses after candidate acceptance (expenses prior to acceptance are funded by Nationwide Children's Hospital). Requests must be reviewed by the Division Chief and submitted to established channels for approval.

XIII. LEAVES AND ABSENCES

In general, there are four types of leaves and absences taken by faculty (Parental leave 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

Faculty are expected to complete a request for absence form 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. Faculty Rules require that the Office of Academic Affairs approve any discretionary absence of ten or more days (see Faculty Rule 3335-5-08).

B. Absence for Medical Reasons (Sick Leave)

When absences for medical reasons are anticipated, faculty members are expected to complete a request for absence form and medical certification forms, as early as possible, and submit to the division chief. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should inform the division chief promptly so that instructional and other commitments can be managed. Faculty members are expected to use sick leave for personal illness, illness of family members, medical appointments and for the death of immediate family members. For additional details see OHR Policy 6.27.

C. Unpaid Leaves of Absence

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR Policy 6.45.

D. Faculty Professional Leave (FPL)

Information on faculty professional leaves is presented in the OAA Policy on Faculty Professional Leave. Tenured faculty who have no clinical/patient care commitment (including divisional oversight) and who have at least 7 years in service at Ohio State may be eligible for Faculty Professional Leave. Faculty desiring leave must submit a request to the Department Chair for review. It is key that the faculty member's Center or Division Director acknowledge review and support of the application.

The department's leadership committee, including the Department Chair, the President of the Research Institute, the Chief Scientific Officer, and the administrative director of the faculty practice plan will review all requests for faculty professional leave and make a recommendation to the department chair based on the following criteria:

- Leave will provide time to invest in new skills or knowledge
- Impact of leave on dependent colleagues (i.e. laboratory staff) is minimal, and/or sufficient oversight has been arranged for the duration of the leave
- Activity during the leave supports the mission of the department, research institute, and/or hospital
- Faculty reviews have been consistently positive with no professional concerns
- The faculty has covered at least 50% of their salary from external sources for the most recent 3 years

The Department of Pediatrics allows FPL of up to 3 months in duration. The department 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 and research institute to accommodate the leave at the time requested. All guidelines in the OAA Policy must be followed, including obligation to return to university for full academic year after completion and submission of written report of goals and accomplishments within 60 days of return. Further, faculty are not allowed to receive supplemental compensation during the FPL. Note that time served at another university and/or unpaid leave does not count towards the seven-year requirement for eligibility. A faculty member who takes FPL, regardless of duration, becomes eligible again only after completing an additional seven years of service at Ohio State after the year the FPL was taken.

E. 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.

F. 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.

G. University Business Travel

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

XIV. ADDITIONAL COMPENSATION AND OUTSIDE ACTIVITIES

A. Additional Compensation

Information on additional compensation is presented in the OAA Policy on Faculty Compensation. For issues regarding patents, the policies of the Nationwide Children's Research Institute Administrative Policy III-5 "Patents, Copyrights and Conflict of Interest" are found on ANCHOR – Hospital Policies.

Additional 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.

The Department and 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 additional 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 additionally compensated activities and external consulting combined.

Faculty who are members of the practice plan of the Department of Pediatrics are full time faculty

who devote 100% of their professional effort to the Department of Pediatrics. These faculty members are salaried employees. They are permitted to retain compensation from additional activities as well as prizes and awards up to a predetermined limit, which is set according to academic rank, Departmental and practice plan policies.

Should a departmental 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 him or her, such textbook or material may be required for a course by the faculty member only if (1) the 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.

Faculty who fail to adhere to the university's policies on these matters, including seeking approval for external consulting, will be subject to disciplinary action.

B. Outside Activities (including paid external consulting)

Information on outside activities is presented in the university's Policy on Outside Activities and Conflicts. The information provided below supplements this policy.

The department and college encourage 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 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 is at the discretion of the Department Chair or Institute Director 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 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 renumeration 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, Assistant/Associate/Vice Deans), all paid outside activities and paid professional services **are subject to approval** and reporting requirements. Such faculty are prohibited from engaging in outside activities when the outside activities overlap with the faculty member's administrative responsibilities to OSU/NCH.

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. An agreement signed by both parties must be included for *all* external consulting agreements.
    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 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 Pediatric Academic Association at Nationwide Children's Hospital.

Ordinarily, clinical services are provided within the facilities of Nationwide Children's Hospital or OSU Wexner Medical Center. Occasionally, a need or opportunity may arise in which a faculty member seeks to provide patient care service in another facility. Requests to practice at an outside facility are considered on an individual basis. The request requires the approval of the Pediatric Academic Association and 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.

- In addition to salary support, faculty are expected to support their research laboratory as specified in the Workload Policy.

E. Expenditures

Employee Expenditures
Employee Appreciation Guidance

XV. CONFLICTS OF INTEREST

A. 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 or school director.

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) 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.

B. 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 Health & Rehabilitation Sciences/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.

C. Financial Conflict of Interest

Information on financial conflicts of interest is presented in the university Policy on Outside Activities and Conflicts. The information provided below supplements this policy.

Faculty at The Ohio State University accept an obligation to avoid financial conflicts of interest in carrying out their professional work. For purposes of this policy, 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 who are 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 (see section above). Finally, faculty are expected to disclose any relationship (whether paid or unpaid) with foreign institutions, companies, or collaborators.

XVI. GRIEVANCE PROCEDURES

Appeals and grievances can involve a wide variety of issues and may originate from many sources such as faculty, fellows, house officers, students, and staff. When possible, grievances should be handled through discussion with the conflicted parties, as facilitated by the appropriate administrator such as the Division Chief or Center Director, the directors of the student or residency programs, a Vice Chair,

or the Department Chair. Except as indicated otherwise below, when a grievance involving a faculty member cannot be resolved at this level, the involved administrator should contact the Vice Chair for Academic Affairs, who will discuss the matter with all affected parties. If the alleged grievance cannot be resolved through discussion, the Vice Chair for Academic Affairs will request a written account of the allegation and/or event from all involved parties.

A. Salary Grievances

A faculty or staff member who believes that their salary is inappropriately low should discuss the matter with their relevant department chair or division chief. The faculty or staff member should provide documentation to support the complaint.

In cases that cannot be resolved at the department level, a faculty member may file a salary grievance with the college's Salary Appeals Committee. A formal salary appeal can also be filed using the process described in Chapter 4, Section 2 of the OAA Procedures and Guidelines Handbook..

Staff members who are not satisfied with the outcome of the discussion with their department chair or division chief 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 appeal 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 are set forth in the university's policy on equal employment opportunity.
2. The university's policy and procedures related to nondiscrimination, harassment, and sexual misconduct are set forth in 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

Each program should have a formal process for student complaints and appeals that is made available to students and faculty within the program. Normally student academic 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 Program Director/Chair/Division Director 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 department chair 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 department chair, who will involve the Committee on Academic Misconduct, if appropriate, or will otherwise follow the department's 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.

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