

**PATTERNS OF ADMINISTRATION
for
THE OHIO STATE UNIVERSITY
DEPARTMENT OF NEUROLOGICAL
SURGERY**

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I. INTRODUCTION

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

This Pattern of Administration is subject to continuing revision. It must be reviewed and either revised or reaffirmed on appointment or reappointment of the department chair. However, revisions may be made at any time as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the college office and the Office of Academic Affairs.

II. MISSION STATEMENT

The Department of Neurological Surgery of the Ohio State University is dedicated to the achievement of distinction in education, scholarship and public service; the education of skilled professionals in the basic and clinical medical sciences and allied medical professions, the discovery, evaluation and dissemination of knowledge and technology; and the provision of innovative solutions for improving health, with an emphasis on personalized health care.

The Department of Neurological Surgery is a major participant in the education of medical students at all levels of the medical curriculum. It also educates medical school graduates in a Neurological Surgery residency program. The Department instructs graduate students in the College of Medicine's masters-level and in other related disciplines. The Department also conducts a variety of teaching programs for practicing physicians. From time to time members of the Department may also participate in educational projects for the general public.

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 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 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 Neurological Surgery. The Department strives to maintain a clinical physician staff with the capability of providing a broad spectrum of neurosurgical 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 Hospitals, 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 organizations in a variety of administrative positions. Faculty members may also serve as members and officers of other charitable and service organizations on a local, regional and national level.

III. ACADEMIC RIGHTS AND RESPONSIBILITIES

In April 2006, the university issued a [reaffirmation](http://oaa.osu.edu/rightsandresponsibilities.html) of academic rights, responsibilities, and processes for addressing concerns. This statement can be found on the Office of Academic Affairs website <http://oaa.osu.edu/rightsandresponsibilities.html>.

IV. FACULTY

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 include faculty with compensated FTEs of at least 50% in the department. Associated faculty, emeritus faculty, and faculty joint appointees with FTEs below 50 percent in this department may be 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.

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

A. Faculty Appointments

Tenure Track Faculty – Persons with the titles of instructor of Neurological Surgery, assistant professor of Neurological Surgery, associate professor of Neurological Surgery, or professor of Neurological Surgery, who serve on appointments totaling 50% or more service to the University.

Clinical faculty - Persons with titles of assistant professor of clinical Neurological Surgery, associate professor of clinical Neurological Surgery and professor of clinical Neurological Surgery who serve on appointments totaling 50% or more service to the University. Clinical faculty members are not eligible for tenure. Individuals appointed to the clinical faculty may not participate in promotion and tenure matters of tenure track faculty or the promotion of research faculty, but otherwise may participate in all matters of Department, College, and University governance unless otherwise stipulated. 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's Appointment, Promotion, and Tenure Document.

Research Faculty – Persons with titles of research assistant professor of Neurological Surgery, research associate professor of Neurological Surgery, or research professor of Neurological Surgery. Research faculty serve on appointments totaling 50% or more service to the University. Research faculty members are not eligible for tenure. Individuals appointed to the research faculty may not participate in promotion and tenure matters of tenure track faculty or promotion of clinical faculty, and may participate in all matters of Department, College, and University governance unless otherwise stipulated. 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 College Appointments, Promotion, and Tenure Document.

In all cases, it is expected that Research Faculty will have 100% support from extramural sources and in no case may general funds dollars be used to support these members of the faculty.

According to Rule [3335-7-32](#) unless otherwise authorized by a majority vote of the tenure-track faculty in a unit, 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.

Associated faculty - A broad category of faculty titles that encompasses adjunct, visiting, returning retiree, lecturer, tenure track faculty who have an appointment less than 50% and other temporary and term positions. 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; retiree-faculty and retiree-faculty emeritus; visiting assistant/associate/professor; assistant/associate/professor-practice. These positions are usually intended to be short-term but may be appointed for a term up to three years, and the term may be renewed. Procedures for reappointment and promotion are defined in the College Appointments, Promotion, and Tenure Document.

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](#). 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 college 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.

V. OVERVIEW OF DEPARTMENTAL ADMINISTRATION & 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 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 ultimate authority and responsibility for actions in the Department of Neurological Surgery shall lie with the Department Chairperson.

The Department functions as an academic unit through the policies and procedures outlined in this document. The actual practice of medicine, however, is conducted through OSU Health System Neurological Surgery, a division of the Specialty Care Network of the Ohio State University Health System.

VI. DEPARTMENT ADMINISTRATION

A. Department Chair

Chairperson: The primary responsibilities of the chair are set forth in Faculty Rule [3335-3-35](#). This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule 3335-6 <http://trustees.osu.edu/university-faculty-rules/3335-6> , also requires the chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to promotion and tenure (the Appointments, Promotion and Tenure document; see Office of Academic Affairs Policies and Procedures Handbook, Volume 1, Chapter 1, <https://oaa.osu.edu/sites/default/files/uploads/handbooks/policies-and-procedures/HB1-1.pdf>).

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

- 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.
- To plan with the members of the faculty and the dean of the college a progressive program; to encourage research and educational investigations.
- 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.
- To evaluate faculty members annually in accordance with both University and department established criteria; to inform faculty members when they receive their annual 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. The review will examine the accomplishments of the faculty with respect to the objectives set forth for the department including clinical accomplishments, teaching activities, and research productivity
- After consultation with the eligible faculty, to recommend appointments, reappointments, promotions, dismissals, and matters affecting the tenure of members of the department faculty to the dean of the college, in accordance with procedures set forth in Faculty Rules [3335-6](#) and [3335-7](#) and this department's Appointments, Promotion and Tenure document.
- To see that all faculty members, regardless of their assigned location, are offered the departmental privileges and responsibilities appropriate to their rank; and in general to lead in maintaining a high level of morale.
- To maintain a curriculum vitae for all personnel teaching a course in the department's curriculum.
- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.

- To facilitate and participate in prescribed [academic program review](#) processes, in collaboration with the dean of the college and the Office of Academic Affairs.

Day to day responsibility for specific matters may be delegated to others, but the 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 chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of department academic goals, however, is most successful when all faculty participate in discussing and deciding matters of importance. The 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 chair will explain to the faculty the reasons for the departure, ideally before action is taken.

B. Vice Chairs

The Vice Chair shall serve a three-year term of office unless specifically appointed for a shorter term. The Vice Chair is responsible for the functions related to their Vice Chair role. The Vice Chair will undergo review by the Department Chairperson according to the Departmental review process. All Vice Chair Appointments are subject to satisfactory annual performance reviews and are at the discretion of the Department Chair.

Vice Chairs in the Department of Neurological Surgery are as follows:

- Executive Vice Chair
- Academic Affairs
- Clinical Quality and Operations
- Diversity Chair
- Education and Training
- Pediatrics
- Research
- Strategic Initiatives

C. Division Chiefs

When divisions are established, each Division of the Department shall have a Division Chief, appointed by the Chairperson. The Division Chief shall serve a four-year term of office unless specifically appointed for a shorter term. The Division Chief is responsible for the academic and clinical functions of the division. The Division Chief will undergo review by the Department Chairperson according to the Departmental review process. All Division Chief Appointments are subject to satisfactory annual performance reviews and at the discretion of the Department Chair.

Division in the Department of Neurological Surgery are as follows:

- Cerebrovascular
- Neuromodulation
- Pediatrics
- Skull Base Surgery
- Spine

- Spine Oncology
- Stereotactic Radiosurgery
- Surgical Neuro-Oncology/Tumor Division

D. Non-faculty Administrative Personnel

Non-faculty administrative personnel shall be appointed by the Department Chairperson. Such personnel may include, but not limited to, Department Administrator(s). The Department Administrator(s) shall be responsible and report to the Department Chairperson. Appointment shall be on a one-year basis with annual review and regular renewal if performance is satisfactory.

All other Department administrative personnel shall be under the direction of the Department Administrator(s). Appointments shall be made by the Chairperson on recommendation of the Administrator(s).

E. Committees

Committees will be established by the Department Chair as the department grows and/or as necessary. Each committee chairperson shall be appointed by the Department Chairperson from among the members of the Department for a term of at least three years that may be renewed by the Department Chair. The chairperson of each committee is responsible for the regular functions of the committee, including organization and conduct of meetings at intervals specified by the committee charge, and presentation of periodic reports at Department meetings. The chairperson shall submit a written report of the activities of the committee as requested by the Department Chair.

Much of the development and implementation of the department's policies and programs is carried out by standing and ad hoc committees. The 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 Appointment, Promotion and Tenure Committee.

1. Standing Committees of the Department of Neurological Surgery

- a. The department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of three professors and two associate professors.

When considering cases involving clinical faculty the Promotion and Tenure Committee may be augmented by two non-probationary clinical faculty members.

When considering cases involving research faculty the Promotion and Tenure Committee may be augmented by two non-probationary clinical faculty members and two non-probationary research faculty members.

- b. Education Committee. Members include: Director, Neurological Surgery Residency Program; a minimum of three department faculty members and a resident designee.
Education Sub Committees:

Education: Minimum of five faculty members reflecting an accurate representation of department faculty.

Clinical Competency: Minimum of five faculty members and a mid-level provider reflecting an accurate representation of department faculty.

Program Evaluation: Minimum of five faculty members reflecting an accurate representation of department faculty.

2. Guidelines

a. Appointments

- i. Appointments shall be based on faculty interest as demonstrated by their volunteering to serve. It shall also be based on faculty recommendations about the selection of committee members. The Chairperson of the Department appoints all committee members guided by these inputs.

b. Term of Office

- i. The normal term of office shall be for a minimum of 3 years beginning on July 1 of the academic year of appointment.
- ii. A faculty member shall be eligible for reappointment to the same committee in the interests of continuity.
- iii. The normal term of office may be adjusted as necessary to enhance the effectiveness of the committee.

c. Meetings

- i. Each standing committee shall meet upon the call of the committee chairperson or upon the petition of two members. The frequency of meetings shall be related to the purpose of the committee, but in general not less than quarterly.
- ii. The quorum will be determined by each committee.

d. Reporting Requirements

- i. A secretary shall be appointed by the chairperson of each committee and shall be responsible for the preparation of a written report of each meeting (minutes).
- ii. This report will be approved by the chairperson and forwarded to the Department Chairperson with any recommendations.

e. Departmental Committee Support

- i. Departmental administrative and secretarial support shall be provided as the committee deems necessary with the approval of the Departmental Chairperson.
- ii. Departmental financial support shall be provided as necessary to achieve the committee objectives with the approval of the Department Chairperson.
- ii. As part of its annual report the committee should submit a budget if significant expenditures are anticipated.

3. Charges of Standing Committees

Each committee, in consultation with the Chairperson, establishes operating policies and procedures with the committee's objectives in accordance with the rules of the Department of Neurological Surgery, the College of Medicine, and the University.

- a. **Appointments, Promotion and Tenure Committee**
Discharges responsibilities as described in the Department's Appointments, Promotion and Tenure document.
- b. **Education Committee**
Reviews, formulates, and recommends the curricular policies and educational programs of the neurological surgery residency program. Develops clinical rotation schedules and departmental resident policies and benefits. Evaluates resident performance in conjunction with all department faculty in consideration for promotion. Responsible for organizing resident interviews, recruitment and selection.

Education Sub Committees:

Education: Ongoing evaluation of the education requirements of the neurological surgery residents at each PGY level.

Clinical Competency: Ongoing evaluation of the clinical competency of the neurological surgery residents at each PGY level.

Program Evaluation: Evaluation of the curricular policies and educational programs.

VII. 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 academic term 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 department regular faculty. The chair will make reasonable efforts to have the meeting take place within one week of receipt of the request. The 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 of all faculty eligible to vote.

Either the chair or one-third of all faculty 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 51% of all faculty eligible to vote. Balloting will be conducted by mail, phone or e-mail when necessary to assure maximum participation in voting.

When a matter must be decided and a simple majority of all faculty eligible to vote cannot be achieved on behalf of any position, the 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.

VIII. DISTRIBUTION OF FACULTY DUTIES & RESPONSIBILITIES

The University's policy with respect to faculty duties and responsibilities is set forth in the Office of Academic Affairs [Policies and Procedures Handbook](#), Volume 1, Chapter 2, Section 1.4.3. Faculty assignments are described in the initial letter of offer. The faculty of the Department of Neurological Surgery consists of individuals whose appointments and responsibilities may vary considerably. Depending on their appointment, department faculty members' responsibilities may include teaching, research, outreach and engagement, and/or service. Fluctuations in the demands and resources of the department and individual circumstances of faculty members may warrant changes in faculty responsibilities. When a faculty member's contributions decrease in one of these areas, additional activity in one or more of the other areas is expected. Assignments and expectations for the upcoming year are addressed as part of the annual review by the department chair based on department needs and as well as faculty productivity and career development.

Faculty members are expected to be accountable for interaction with students, service assignments, departmental meetings and events, and other responsibilities. Faculty members should not be away from campus for extended periods of time unless on an approved Special Research Assignment or other approved leaves. Faculty members are expected to work at a University worksite during normal work hours unless a formal request providing the rationale and justification for alternate arrangements has been approved by the Chair.

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.

Any faculty out-of-state for more than 30 days in a year must be approved by the Dean.

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 OAA [Policy on Faculty Conflict of Commitment](#) (see also Section XIII).

The Department Chair is responsible for ensuring that every faculty member has duties and responsibilities commensurate with his or her appointment and that departmental workload is distributed equitably among faculty. 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.

The University's policy with respect to faculty teaching load is set forth in the Office of Academic Affairs [Policies and Procedures Handbook](#), Volume 1, Chapter 2, Section 1.4.3.1.

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 is expected.

Teaching

All tenure-track faculty are expected to contribute to the Department's teaching, including teaching of residents, fellows and medical students. Faculty members are expected to advise undergraduate and graduate students and supervise independent studies and thesis and dissertation work.

The standard teaching assignment may vary for individual faculty members 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.

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. Any increases or decreases in teaching assignments will be discussed at faculty's annual evaluation or other times as necessary.

Scholarship

All tenure-track faculty members are expected to be engaged in scholarship as defined in the department's [Appointments, Promotion, and Tenure Document](#). 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 supports at least 15% AY release time and that supports at least two graduate students per year. Faculty members are also expected to seek appropriate opportunities to obtain patents and engage in other commercial activities stemming from their research.

Any increases or decreases to scholarship assignment will be made by the Chair of the department based on departmental or individual faculty member needs.

Service

Faculty members are expected to be engaged in service and outreach to the department, university, profession, and community. Typically this will include service on two committees within the department and one outside the unit. 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 department events.

Any increases or decreases to service assignment will be made by the Chair of the department based on departmental or individual faculty member needs.

B Clinical Faculty

The Department of Neurological Surgery uses the title clinical faculty. These appointments exist for faculty members who focus principally on the education needs for the department. Clinical faculty members are expected to contribute to the department's research and education missions, as reflected by participation in graduate program development and teaching. 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.

C Research Faculty

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

Research faculty expectations for research are similar to those for the tenure-track, albeit proportionally greater since 100% of effort for research faculty members is devoted to research. Specific expectations are spelled out in the letter of offer.

D Associated Faculty

Compensated associated faculty members are expected to contribute to the university's mission via teaching or research depending on the terms of their individual appointments.

Faculty members with tenure-track titles and appointments <50% FTE will have reduced expectations based on their appointment level.

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.

Special Assignments

Information on Special Assignments (SAs) is presented in the Office of Academic Affairs [Special Assignment Policy](#).

SAs are normally one full semester in length and are designed to provide a faculty member time away from classroom teaching and some other responsibilities in order to concentrate effort on research. SAs are usually, but not necessarily, provided to faculty to develop a new research skill, initiate a new project, or complete an ongoing project. SAs of shorter duration may be provided for such purposes as facilitating travel related to research that is less than a semester in duration but more than a week or two provided classroom teaching is not disrupted.

Untenured faculty will normally be provided an SA during their probationary period. Reasonable efforts will be made to provide SA opportunities to all productive faculty on a rotating basis subject to the quality of faculty proposals, including their potential benefit to the department, and the need to assure that sufficient faculty are always present to carry out department work. An SA may be completed on campus or away from campus. However, faculty members on SAs are expected to make arrangements to participate in personnel meetings and to advise graduate students (where applicable).

Faculty members who desire an SA should discuss the matter with the department chair during their annual evaluation or as soon thereafter as possible. The department chair will indicate whether submission of a full proposal articulating the purpose and nature of the SA is appropriate. The department chair shall make a recommendation to the Dean regarding a SA proposal. Award of the SA will be based on the quality of the proposal and its potential benefit to the department or university and to the faculty member as well as the ability of the department to accommodate the SA at the time requested. The chair will normally announce decisions regarding SAs for the next academic year no later than June 30 of the previous academic year, but retains the option of making decisions regarding proposals at other times when circumstances warrant such flexibility.

E Parental Modification of Duties

The Department of Neurological Surgery 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 parental modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption/fostering. See the OHR [Parental Care Guidebook](#) and the [college pattern of administration](#) for details.

The faculty member requesting the modification of duties for childbirth/adoption/fostering 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.

See also Parental Leave Policy in Section XI.

IX. COURSE OFFERINGS & TEACHING SCHEDULES

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 most likely to meet student needs. To assure classroom availability reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students required by Faculty Rule [3335-8-16](#) will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent quarter. Finally, to the extent possible, courses required in any curriculum or courses with routinely high demand will be taught by at least two faculty members across quarters of offering to assure that instructional expertise is always available for such courses.

X. ALLOCATION OF DEPARTMENT RESOURCES

The 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 department goals.

The 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 chair.

Research space shall be allocated to faculty members with actively funded research programs that meet department and college metrics regarding research funding. See space Allocation Policies and Guidelines. 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 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 sub disciplines and productivity and grouping staff functions to maximize efficiency.

A. Budgets

The budgets for the Department as a whole will be submitted in advance of July 1 of the next academic fiscal year for approval. The Departmental budget will consist of expenditures for endowment and development funds. Additional areas for expenditures by the Department may be considered by the faculty as submitted by the Chairperson of the Department. The budget will consist of the following items and can be amended as

necessary: personnel, supplies, postage, communications, equipment repair/rental, travel, general services purchasing, general expenditures, and transfers. The total budget for the Department will be approved by the May meeting. The majority of funding for the Department budget will come from the OSU Health System Neurological Surgery practice funds. Because of the interaction between the Department fiscal planning and the Health System Specialty Care Network fiscal planning, regular meetings will be held between the Chairperson's office and the Administrator and CFO of the Health Systems Specialty Care Network for purposes of planning and monitoring of the Department budget.

B. Salaries

Total base compensation will be benchmarked against the AAMC Total Cash Compensation three-year rolling average for the faculty member's medical specialty and rank. An alternate benchmark three-year rolling average will be used for a medical specialty if the Compensation Committee has previously approved it. Total Base Compensation will be converted into a percentile value based on the appropriate specialty benchmark and will take into account the faculty member's academic rank, the specialty/sub-specialty, and his/her overall productivity against our three core missions – clinical, teaching, and research – as well as administrative expectations (CART). Total Base Compensation can range from the 25th to the 55th percentile of the three-year rolling average of the approved benchmark for the faculty member, adjusted for specialty and rank to reflect tenure, and performance as set by the Departments and approved by the Compensation Committee. Please refer to the Faculty Group Practice's Compensation Plan Document for additional details. See also the discussion of the allocation of salary funds in the department's [Appointments, Promotion and Tenure Document](#).

C. Accounting/Audits

At the end of each academic year, a final reconciliation of Health System and academic enrichment expenditures will be provided to the department faculty. It is anticipated that there will be no significant deficits due to ongoing adjustments on a quarterly basis. At the discretion of the faculty a full outside audit of the Department may be requested by 2/3 vote of the faculty; otherwise an in-house audit of the accounts will be provided at the October or November faculty meeting.

XI. LEAVES AND ABSENCES

The University's policies with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook <https://oaa.osu.edu/policies-and-procedures-handbook> and Office of Human Resources Policies and Forms website <https://hr.osu.edu/policies-forms>.).

A. Discretionary Absence

Faculty are expected to complete an Application for Leave form well in advance of a planned absence (e.g. as for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the chair retains the authority to disapprove a proposed absence departmental activities and priorities are negatively impacted by the leave. Rules of the University Faculty require that the University Office of Academic Affairs approve any discretionary absence longer than 10 consecutive business days (see Faculty Rule [3335-5-08](#)) and must be requested on the Application for Leave form.

B. Absence for Medical Reasons (Sick Leave)

When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). See OHR Policy 6.27 for details: <http://hr.osu.edu/policy/policy627.pdf>.

C. Family Medical Leave/Parental 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 Leave Programs](#) and the OHR [Parental Care Guidebook](#). 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

Information on faculty professional leaves is presented in the OAA [Policy on Faculty Professional Leave](#). The Faculty Professional Leave program 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 department chair will review the proposal consistent with the Department's guidelines for Faculty Professional Leave, as described in the Department's pattern of administration. If approved, the department chair will submit the proposal to the Dean or their delegate for approval, who will then submit the document for OAA approval, with leave applications finally recommended to the Board of Trustees for final approval.

XII. SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY

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.

This department adheres to this policy in every respect. In particular, this department 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. In addition, it is University policy that faculty may not spend more than one business day per week on supplemental compensated activities and external consulting combined. 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.

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 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 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.

B. Paid External Consulting

Information on paid external consulting is presented in the university's [Policy on Faculty Paid External Consulting](#). The information provided below supplements this policy.

The purpose of this policy is to establish guidelines and reporting requirements for paid activities, external to the university, that is undertaken by faculty members, including faculty with administrative assignments and appointments, and that is related to the areas of teaching, research, and professional expertise. 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. External activities, whether paid or unpaid, shall not be performed at the detriment of the faculty member's duties and responsibilities to the University. External consulting must be approved by the department chair. Approval will be contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, 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.

For faculty without administrative duties, the following activities are not subject to this policy's approval and reporting requirements. All faculty may not spend more than one business day per week on supplemental compensated activities and external consulting combined. External consulting compensation should not exceed 30% of the faculty total University compensation. Requests in excess of 30% require written justification from the department chair and approval from the Dean's office.

1. External professional 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 and boards such as peer review panels and advisory bodies to other universities; presentations to either professional or public audiences in such forums as professional societies, libraries, and other university; and peer review activities undertaken for either for-profit or nonprofit publishers, including grant reviews and consultation.
2. Health care activities that are explicitly covered by approved practice plans.

Faculty members, including faculty with administrative assignments and appointments (for example, chair, associate/assistant dean, center director), remain subject to the Policy on Faculty Paid External Consulting and with appropriate approval are permitted to engage in paid external activities to the extent that these activities are clearly related to the mission of the university and the expertise of the faculty member, provide direct or indirect benefits to the university, and do not entail a conflict of interest as defined in the [Faculty Financial Conflict of Interest Policy](#) or a conflict of commitment as defined in the [Faculty Conflict of Commitment Policy](#) (see Section XIII below). 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. Notwithstanding the opportunity to engage in external activities, 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. Duties and responsibilities are assigned annually in accordance with the workload guidelines set forth in this pattern of administration.

External consulting consists of activities external to the University including but not limited to consulting with pharmaceutical or device companies and medical legal work.

Examples of pharmaceutical or device companies consulting includes speaker bureaus and advisory boards. 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, civil or criminal legal issues. (e.g. patient evaluation, reviewing records, discovery or trial deposition or trial testimony). Medical legal work also includes activities (e.g. depositions) that are not in and of themselves patient care, but are connected to faculty member's knowledge of the patient. This excludes if the faculty member is the defendant in matters arising from their faculty responsibilities at the University.

As a general rule, the proportion of a faculty member's professional effort devoted to consulting should not exceed one business day per week. Prior approval must be obtained as outlined in the procedures below.

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 including losing the opportunity to engage in external consulting.

External Consulting Approval

Faculty may undertake various activities such as teaching, lecturing, serving on academic advisory boards for entities external to OSU. When these activities do not fall within the definition of Professional Activities, as defined in the [Faculty Paid External Consulting Policy](#), but are related to the faculty member's professional expertise, faculty must obtain pre-approval from their chair and the College. The procedure for requesting approval is outlined in the [Guidance on Faculty External Consulting](#) document on OneSource.

External Consulting Requirements/Restrictions*

- External Consulting must be approved by the Department Chair and Dean's office using the online faculty external consulting form before the faculty member undertakes the consulting activity.
- Vacation time (or leave without pay) must be used for external consulting activities.
- University resources, including faculty time during normal business hours, university office or equipment, may not be used for external consulting activity unless approval has been obtained and it is documented.
- University staff (e.g. assistants or administrators) may not be used to negotiate with companies, submit faculty requests, or book travel related to the external consulting, as these agreements are personal to the faculty member.
- Faculty members may not request reimbursement for expenses related to external consulting.
- All external consulting compensation must be disclosed upon receipt in the [eCOI](#).
- Faculty with administrative responsibilities (e.g., Directors, Chairs, School Directors, Assistant Deans, Associate Deans, Vice Deans, Deans) are prohibited from consulting with entities external to OSU when the external consulting activities overlap with the faculty member's responsibilities to OSU.

* These restrictions do not apply to Professional Activities, as defined in the policy. The Department Chair has discretion to allow or deny business leave related to Professional Activities.

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

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 Rules, research faculty are expected to support 100% of their total annual salary on extramural funding.

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.

XIII. CONFLICT OF COMMITMENT, EDUCATIONAL CONFLICTS OF INTEREST, AND FINANCIAL CONFLICTS OF INTEREST

Conflict of Commitment

The University's Conflict of Commitment Policy may be found at:

https://oaa.osu.edu/sites/default/files/links_files/conflict_of_commitment.pdf

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.

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 Faculty Paid External Consulting Policy) exceed the permitted limits (normally one eight hour day per week or less) or whenever a full-time faculty member's primary professional obligation is not to Ohio State, a conflict of commitment exists.

Faculty will disclose and discuss external commitments with their department chair prior to engaging in the activity. If an activity cannot be managed by the faculty member and their chair 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'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. 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.

Financial Conflict of Interest

The University's Financial Conflict of Interest Policy may be found at:

<http://oaa.osu.edu/assets/files/documents/FinConfInt.pdf>. 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 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. Finally, faculty are expected to disclose any relationship (whether paid or unpaid) with foreign institutions, companies, or collaborators.

XIV. 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. Content below describes procedures for the review of specific types of complaints and grievances. Faculty or staff members who have a grievance should first discuss the matter with their 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.

A. Salary Grievances

A faculty or staff member who believes that his or her 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 a more formal salary appeal (see 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 <http://hr.osu.edu/services/elr/> in the Office of Human Resources.

B. Faculty Misconduct

Faculty misconduct/incompetence: Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule [3335-5-04](#). The College of Medicine Investigation Committee handles cases of faculty misconduct according to procedures outlined in the OAA [Policies and Procedures Handbook](#).

C. Faculty Promotion and Tenure Appeals

Promotion and tenure appeals procedures are set forth in Faculty Rule [3335-5-05](#).

D. Harassment, Discrimination, and Sexual Misconduct

The [Office of Institutional Equity](#) 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 affirmative action, equal employment opportunity, and non-discrimination/harassment are set forth in university [Policy 1.10](#).
- 2 Ohio State's policy and procedures related to sexual misconduct are set forth in university [Policy 1.15](#).

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. Student Complaints

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 department chair, the chair will first ascertain whether the students require confidentiality or not. If confidentiality is not required, the chair 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 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 department chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct <https://oaa.osu.edu/academic-integrity-and-misconduct> (see also Faculty Rule [3335-23-5](#).)

G. Academic Misconduct

In accordance with the [Code of Student Conduct](#), faculty members will report any instance of academic misconduct to the Committee on Academic Misconduct.