

PATTERNS OF ADMINISTRATION

THE OHIO STATE UNIVERSITY DEPARTMENT OF NEUROLOGICAL SURGERY

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 at the Ohio State University is dedicated to the achievement of excellence in undergraduate and postgraduate education, research and clinical care in neurological surgery.

III. FACULTY

Faculty Rule 3335-5-19 <http://trustees.osu.edu/rules5/ru5-19.html> 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 regular 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.

The Department of Neurological Surgery faculty participate in the education of medical students at all levels of the medical curriculum. They also engage in the education of medical school graduates in a neurological surgery residency program. Graduates of this program become eligible for certification by the American Board of Neurological Surgeons (ABNS). The faculty instruct graduate students in the College of Medicine in other related disciplines. The faculty also conduct 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 Departmental faculty, 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 regularly presented at various scientific meetings and symposia, and they are published in books, journals and other media

Physician faculty 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 or simple.

Department faculty also participate in the administration and governance of the Hospitals, COM and the University through service as members and officers of various committees. In addition, faculty members serve local, regional and national medical, charitable and service organizations in a variety of administrative positions.

IV. 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 Neurosurgery, a division of the Specialty Care Network of the Ohio State University Health System. Until such time as additional committees are necessary, faculty meeting agendas will address issues including, but not limited to teaching, research, patient care, finances and human resources.

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.

V. DEPARTMENT ADMINISTRATION

A. Officers of the Department

Chairperson: The primary responsibilities of the chair are set forth in Faculty Rule 3335-3-35 <http://trustees.osu.edu/rules3/ru3-35.html>. 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/rules6/ru6index.html>, 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 http://oaa.osu.edu/handbook/i_aptdoc.html).

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.
- To recommend appointments, 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 Rule 3335-6 <http://trustees.osu.edu/rules6/ru6index.html> 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 see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.

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. Committees

Committees will be established by the 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 two years that may be renewed by the 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.

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.

D. Departmental Review Process

Formal reviews of the faculty shall be done on a yearly basis by the Chairperson. 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.

E. 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).

VI. STANDING COMMITTEES

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 Promotion and Tenure Committee.

A. Standing Committees of the Department of Neurological Surgery

1. Appointment, Promotion and Tenure Committee. Effective 7/01/2016 members will be appointed by the Chairperson of the Department and will include: full professors, associate professors and assistant professors reflecting an accurate representation of department faculty (minimum of 5 members).

2. Education Committee. Effective 7/01/16 members include: Director, Neurological Surgery Residency Program; a minimum of three department faculty members and a resident designee.

B. Guidelines

1. Appointments
 - a. Appointments of the chairpersons and membership of which all committees shall be made by the Chairperson of the Department.
2. Term of Office
 - a. The normal term of office shall be for a minimum of two years beginning on July 1 of the academic year of appointment.
 - b. A faculty member shall be eligible for reappointment to the same committee in the interests of continuity.
 - c. The normal term of office may be adjusted as necessary to enhance the effectiveness of the committee.
3. Meetings
 - a. 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.
 - b. The quorum will be determined by each committee
4. Reporting Requirements
 - a. 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).
 - b. This report will be approved by the chairperson and forwarded to the Department Chairperson with any recommendations.
5. Departmental Committee Support
 - a. Departmental administrative and secretarial support shall be provided as the committee deems necessary with the approval of the Departmental Chairperson.
 - b. Departmental financial support shall be provided as necessary to achieve the committee objectives with the approval of the Department Chairperson.
 - c. As part of its annual report the committee should submit a budget if significant expenditures are anticipated.

C. 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 Public Health, and the University.

1. Appointments, Promotion and Tenure Committee
Evaluates the credentials of all candidates for academic appointments, promotion and tenure according to Departmental and College guidelines and review or present to the Chairperson and faculty.
2. 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.

VII. FACULTY MEETINGS

The 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.

DEPARTMENT FACULTY TEACHING LOAD POLICY

This section includes the Office of Academic Affairs required policy and guidelines http://oaa.osu.edu/handbook/v_teachingworkload.html.

POLICY ON FACULTY DUTIES & RESPONSIBILITIES

NOTE: This section includes the Office of Academic Affairs required policy and guidelines http://oaa.osu.edu/handbook/vi_facduties.html.

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 3335-8-17 <http://trustees.osu.edu/rules8/ru8-16-17.html> 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.

VIII. 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 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 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 Neurosurgery 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

Faculty salaries within the Department of Neurological Surgery are determined by the Department Chairperson. For purposes of the academic portion of the salary, action taken within the Promotion and Tenure Committee will govern an individual's rank and therefore, to some extent, any salaries paid for the academic portion of the University salary. The salary for clinical efforts will be determined by the Department Chairperson with approval by the Medical Director of the Health System or his/her designee.

Compensation for both physicians and other academic and nonacademic personnel is through sponsored research, the University, academic enrichment or the Health System directly. It is the responsibility of the department faculty to periodically evaluate support for the Department from the College of Medicine to assure that this is fair and equitable. Any grievances regarding the distribution of College of Medicine support to the Department may be raised with the Chairperson or at a meeting of the faculty.

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 July or August faculty meeting.

IX. LEAVES OF ABSENCES

The University's policies with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook <http://oaa.osu.edu/handbook/tc.html> and Office of Human Resources Policies and Procedures website <http://hr.osu.edu/policy/policyhome.html>. The information provided below supplements these policies.

A. Discretionary Absence

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

B. Absence for Medical Reasons

When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. See OHR Policy 6.27 for details: <http://hr.osu.edu/policy/policy627.pdf>.

C. Unpaid Leaves of Absence

http://oaa.osu.edu/handbook/ix_loa.html
http://oaa.osu.edu/handbook/ix_loaentrepren.html

A faculty member may request an unpaid leave of absence for personal or professional reasons. Professional reasons would include an opportunity to accept a visiting appointment at another institution. A faculty member desiring an unpaid leave of absence should submit a written request for the absence as far in advance as possible of the time for which the leave is desired. Approval will be based on, but not limited to, the nature of the request, the extent to which the faculty member's responsibilities can be covered or deferred during the proposed absence, and the positive or negative impact on the department of the proposed absence. Unpaid leaves of absence require the approval of the dean, Office of Academic Affairs, and Board of Trustees.

D. Special Research Assignments

http://oaa.osu.edu/handbook/ix_sra.html

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

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

Faculty members who desire an SRA should discuss the matter with the 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 SRA is appropriate. The chair will normally announce decisions regarding SRAs for the next academic year no later than June 30 of the previous academic year, but retains the option of making decisions regarding proposals at other times when circumstances warrant such flexibility.

E. Faculty Professional Leave

http://oaa.osu.edu/handbook/ix_fpl.html

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

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

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

X. SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY

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

http://oaa.osu.edu/handbook/iii_facextracomp.html and
<http://oaa.osu.edu/handbook/paidexternal.html>.

This department adheres to these policies 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. External consulting must also be approved. 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. In addition, it is University policy that faculty may not spend more than one business day per week on supplementally compensated activities and external consulting combined.

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.

XI. FINANCIAL CONFLICTS OF INTEREST

The University's policy with respect to financial conflicts of interest is set forth in the Office of Academic Affairs Policies and Procedures Handbook

<http://oaa.osu.edu/handbook/coipolicy.html>. A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any University duty or responsibility, including designing, conducting or reporting research.

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

XII. GRIEVANCE PROCEDURES

Members of the department with grievances should discuss them with the 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

A. Salary Grievances

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the 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 chair and wish to pursue the matter may be eligible to file a more formal salary appeal

http://oaa.osu.edu/handbook/xii_salaryprocess.html.

Staff members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter should contact Consulting Services <http://hr.osu.edu/dir/Directory.htm#Consult> 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

<http://trustees.osu.edu/rules5/ru5-04.html>.

C. Faculty Promotion and Tenure Appeals

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

<http://trustees.osu.edu/rules5/ru5-05.html>.

D.

Sexual misconduct, sexual harassment relationship violence

The University's policy and procedures related to **Sexual misconduct, sexual harassment relationship violence are set forth in OHR policy 1.15.**

E. 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.

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 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 <http://oaa.osu.edu/coam/home.html> and <http://senate.osu.edu/COAMDuties.pdf>.

The Code of Student Conduct is Faculty Rule 3335-23
<http://trustees.osu.edu/Rules 23/index.html>.