

The Department of Ophthalmology and Visual Science

The Ohio State University College of Medicine

Pattern of Administration

May 2017

OAA Approved: 12/28/2017

Pattern of Administration
Department of Ophthalmology and Visual Science
Revised: May 2017

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I. Introduction

This document provides a brief description of the Department of Ophthalmology and Visual Science 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 departmental chair. However, the college office and the Office of Academic Affairs may make revisions at any time subject to approval.

II. Department Mission

The mission of the Department of Ophthalmology & Visual Science at The Ohio State University College of Medicine falls under four main areas - education, research, patient care, and service.

- **Education:** The educational responsibilities of the department include education of medical students, post-graduate (medical and non-medical degrees) students and fellows, and practicing physicians.
- **Research:** To make contributions to the advancement of the fund of knowledge in the field of vision related research is a major component of the mission of the department.
- **Patient Care:** To provide moral and ethical patient care of the highest quality at all times.

Service: To perform service to the medical school, the university, and the community at large by participation of department members in the broad area of the department mission.

III Academic Rights and Responsibilities

In April 2006, the university issued a reaffirmation 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 (<http://trustees.osu.edu>) 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 and decision-making purposes, voting members of the department faculty are those members with tenure, those who are untenured and hold a tenure-track appointment, and members holding a clinical track position with appointments requiring 50% or more service to the department.

Tenure Track:

The Department of Ophthalmology makes Tenure Track Appointments. Tenure Track titles are Assistant Professor of Ophthalmology, Associate Professor of Ophthalmology, and Professor of Ophthalmology.

Clinical Track Faculty:

The Department of Ophthalmology makes Clinical Faculty appointments. Clinical Faculty titles are Assistant Professor of Clinical Ophthalmology, Associate Professor of Clinical Ophthalmology and Professor of Clinical Ophthalmology. Clinical faculty members may vote in all matters of department governance except tenure-track appointment, promotion and tenure decisions. In accordance with College of Medicine guidelines for clinical departments, there is no cap on the total number of clinical faculty members in the department of Ophthalmology.

Research Faculty:

The Department of Ophthalmology makes Research Faculty appointments. Research Faculty titles are Research Assistant Professor of Ophthalmology, Research Associate Professor of Ophthalmology, and

Research Professor of Ophthalmology. Research faculty may vote in all matters of department governance except tenure-track appointment, promotion and tenure decisions and clinical appointment and promotion decisions. Research Faculty can comprise no more than 20% of the number of tenure-track faculty members.

Associated Faculty:

Associated Faculty titles are Adjunct Assistant Professor of Ophthalmology, Adjunct Associate Professor of Ophthalmology and Adjunct Professor of Ophthalmology. Associated faculty may be invited to faculty meetings and their participation may be solicited in departmental discussions, but associated faculty have no formal vote.

Emeritus Faculty:

Emeritus faculty members in this department may vote in all matters of department governance except tenure-track appointment, promotion and tenure decisions and clinical appointment and promotion decisions.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this department is provided in the Appointments, Promotion and Tenure Document (see <http://oaa.osu.edu/governance>).

V. Organization of Department Services and Staff

Supporting the Chair of the department are three Vice Chairs, each responsible for a specific portion of the departmental mission. The Vice Chairs are as follows:

Vice Chair for Education

Vice Chair for Research

Vice Chair for Clinical Affairs

In addition, the Department of Ophthalmology is organized into Divisions, which represent the various subspecialties within the discipline of Ophthalmology. Each Division constitutes an academic sub-unit, responsible for clinical care, teaching, research, and financial

performance related to the specific discipline. Each Division will have a Director. The director and the individual members of each Division are responsible for the care of patients falling within that specialty and for contributing to the overall mission of the Department.

Divisions in the Department of Ophthalmology are as follows:

- Anterior Segment
- Glaucoma
- Retina
- Oculoplastics

Divisions may be added, deleted or rearranged from time to time in accordance with the clinical and academic priorities of the Department

Department Chief Administrator

Supports the Chair and vice chairs and division directors in accomplishing their specific part of the departmental mission.

VI. Overview of Departmental Administration and Decision Making

The Office of Academic Affairs (OAA) expects newly appointed or reappointed chairs to complete the consultation process outlined in their current POA and to have in place a new or reaffirmed POA that has been approved by the dean and by OAA no later than one year from the date they are appointed or reappointed. The current POA remains in effect until a new or revised one is approved by OAA. The vice provost for academic policy and faculty resources encourages chairs to submit drafts of POAs for consultation and advice. Formal submissions, however, should be submitted to OAA by chairs or their dean following college review and approval.

VII. Department Administration

A. Chair

The primary responsibilities of the chair are set forth in Faculty Rule 3335-3-35, <http://trustees.osu.edu>. 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>, also requires the chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to promotion and tenure.

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

- 1) To have general administrative responsibility for the Department subject to the approval of the Dean of the College of Medicine.
- 2) To provide a schedule of all faculty meetings to all faculty members
- 3) To maintain minutes of all faculty meetings and to maintain records of all other actions covered by the pattern of administration
- 4) To consult with the faculty as a whole on all policy matters, and see that such considerations, whenever practicable, be undertaken at a meeting of the faculty as a whole
- 5) To recognize in principal, the presumption favoring majority faculty rule on all matters covered by the pattern of administration. Whenever majority faculty rule is not followed, the chair shall explain the reason(s) for the departure in order to enhance communication and to facilitate understanding within the department. Where possible this statement of reason(s) shall be provided before the departure occurs. This explanation shall outline the decision of the majority of the faculty, the decision of the chair, and the reason(s) the decision differ. The explanation shall be communicated to the faculty in writing, where possible, or at a faculty meeting, with an opportunity provided for the faculty to comment.
- 6) To consult with the faculty in the initiation and in the review and selection of new faculty members for appointment.
- 7) To establish a policy governing the equitable assignment of

instructional, scholarly, and service activity appropriate for each faculty member to meet the stated mission of the department. The assignment of duties and responsibilities is ultimately the responsibility of the chair; however, division and section directors are to be consulted. The chair will convene on an annual basis a meeting with each faculty member to establish the expected level of performance in the three areas of the workload policy. The expected level of instructional, scholarly, and service activity assigned to the faculty member should take into consideration all factors specific to the individual faculty member and should be arrived at by mutual agreement. Any disagreement between the chair and the faculty member shall be resolved as provided for in the department's grievance procedures. The chair may elect to meet with auxiliary faculty members on an annual or less frequent basis.

- 8) To prepare, after consultation with the faculty and in accordance with the pattern of departmental administration, a statement setting forth the criteria and procedures by which recommendations are made concerning faculty appointments and/or dismissals, promotion, promotion in rank, and matters affecting tenure. This statement shall be made available to all present and prospective members of the department and a copy shall be deposited in the Office of the Dean of the College of Medicine and in the Office of the Executive Vice President and Provost. At the beginning of each four-year term of the Chair, the Office of the Dean of the College of Medicine and the Executive Vice President and Provost shall receive either a revision or reaffirmation of the original statement.
- 9) To plan with the members of the faculty and the Dean of the College a Departmental Strategy for success.
- 10) To evaluate continuously the instructional and administrative processes and lead in the study of methods of improving them.
- 11) To evaluate faculty members periodically in accordance with criteria

approved by the Board of Trustees and subject to instructions from the Executive Vice President and Provost, and also according to such supplemental criteria as may be set up by the department.

- 12) To inform faculty members when they receive their annual review of their right to review their personnel file maintained by the department and to place in their file a response to any evaluation, comment or other material contained in the file.
- 13) To recommend to the Dean of the College, after consultation with the faculty in accordance with paragraph (C)(3) Rule 3335-3-35 (<http://trustees.osu.edu>) appointments, promotions, dismissals, and matters affecting the tenure of members of the department
- 14) To encourage research and educational investigations.
- 15) To see that all faculty, regardless of their assigned location, are offered departmental privileges and responsibilities appropriate to their rank and, in general, to lead in maintaining a high level of morale.
- 16) To see that adequate supervision and training are given to those members of the faculty and staff who may profit from such assistance.
- 17) To prepare (after consultation with the professors, associate professors, and assistant professors) annual budget recommendations for the consideration of the Dean of the College.
- 14) To promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.
- 15) To operate the business of the department with efficiency and dispatch.

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 members 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. Other Administrators

Vice-Chairs (see also Section VI):

The Vice-Chairs shall be appointed by the Chair from among the members of the Department and shall serve a renewable term of office of three years. The Vice Chairs shall have responsibility for the major categories of activities of the Department, which include clinical operations and research. The term of office of each Vice-Chair will automatically expire upon the termination of service of the Chair. In the absence of the Chair, the administrative responsibilities of the Department shall be directed by a designated Vice Chair. In the absence of the Vice Chair, the Chair shall designate an appropriate senior faculty member to have primary authority.

Periodic review of the Vice-Chairs shall be conducted in accordance with the Departmental Review Process outlined in this document. If the Chair or the Leadership Committee, by majority vote, determine that there are possible grounds for termination of appointment of a Vice Chair prior to completion of term of office, a review may be conducted and appropriate action, including dismissal, may be taken

in accordance with the Departmental Review Process.

Division Directors:

Each Division of the Department shall have a Division Director, appointed by the Chair. The Division Director shall serve a four year term of office unless specifically appointed for a shorter term. The Division Director is responsible for the clinical, academic, and financial performance of the division. Each Division Director will undergo review by the Department Chair according to the Departmental review process.

Committee Chairs (see also Section VIIC):

Each committee chair shall be appointed by the Department Chair from among the members of the Department for a term of at least two years that may be renewed by the Chair. The chair 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.

Residency Program Director:

The residency program director shall be appointed by the Department Chair from among the members of the Department. The residency program director appointment must be approved by the Graduate Medical Education Committee and the ACGME. The residency program director is responsible for the oversight and administration of the residency program. The residency program director will present monthly reports at the Department Faculty meeting.

Medical Student Clerkship Director:

The medical student clerkship director shall be appointed by the Department Chair from among the members of the Department. The medical student clerkship director is responsible for the oversight of all medical student activities including clerkship experiences, didactics presented during all years of medical student training and serving as an advisor for medical students. The medical student

clerkship director will report to the Department Chair periodically on the status of medical student educational activities within the department.

C. 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 Committee of Eligible Faculty and the Appointments, Promotion and Tenure Committee. The standing committees of the Department are: The Appointments, Promotion and Tenure Committee, The Resident Selection Committee, The Space Committee, The Finance Committee, The Research Committee, The Quality Assurance Committee, The Clinical Competency Committee and The Program Education Committee. Ad hoc committees made are formed at the discretion of the chair.

- A. *The Appointments, Promotion and Tenure Committee* is composed of at least three faculty members. Eligible faculties are tenured members who hold rank higher than that of the candidate under review. If fewer than three faculty members are eligible, additional eligible faculty from a related discipline shall be selected in accordance with procedures described in the department's appointments, promotion and tenure document. The Chair of the Department shall not be a voting member of the committee. Emeritus faculty members may not serve on the committee. Appointments, Promotion, and Tenure Committee members are appointed by the Department Chair. In selecting committee members, the Chair shall take into consideration the need for gender and racial/ethnic diversity. The committee may consist of all eligible members of the faculty or a subset thereof.

The duty of the Appointments, Promotion, and Tenure Committee is to provide the Chair with significant consultative

input concerning the appointment of faculty and promotion and tenure of existing Department faculty, and other related matters in accordance with the Department's Appointments, Promotion, and Tenure Document.

- B. ***The Resident Selection Committee*** is composed of the committee chairperson and two or more faculty members of any rank selected by the Department Chair. Additional committee members may be selected by the committee chair in consultation with the Department Chair. Adjunct faculty members may be asked to serve on this committee if they are actively involved in resident education. The committee organizes and conducts interviews and makes the final decision on which candidates are to be recommended to the Chair to be offered a residency position.
- C. ***The Space Committee*** is composed of two or more faculty members of any rank appointed by the Department Chair. The committee will maintain an accurate record of all space assignments within the Department and assist the Department Chair in assigning and reassigning space to support the mission of the Departmental faculty and staff.
- D. ***The Finance Committee*** is appointed by the Department Chair and consists of at least three faculty members. The committee is advisory to the Department Chair on all fiscal matters except for decisions concerning faculty salary, which is the responsibility of the Chair.
- E. ***The Research Committee*** is appointed by the Department Chair and is selected from faculty members who are actively involved in both clinical and bench research. The research committee will compose of three members. The committee will monitor research activity in the department, make recommendations to the chair in the assignment of research space, and assist faculty, residents, fellows, and students in

organizing and conducting research projects. This committee will maintain current information on developing grant proposals and provide assistance to faculty in developing and submitting competitive grant applications locally and to extramural sources.

- F. ***Quality assurance*** for the Department is the responsibility of the Chair. The Chair may elect to appoint a committee to assist in maintaining an ongoing assessment of the quality of care provided to patients by members of the Department and to document outcome results for both inpatient and outpatient treatment. Results of the committee evaluation are to be reported to the faculty at every other scheduled faculty meeting and any written report should become part of the faculty meeting minutes.

- G. ***The Program Education Committee*** is composed of the committee chairperson, residency program director, site directors for each residency rotation site, two faculty members and at least one resident, but all residents are invited to participate on the committee. The committee reviews and evaluates the current residency program.

- H. ***The Clinical Competency Committee*** is composed of three or more members of the active teaching faculty who serve in an advisory role to the residency program director. The committee is appointed by the residency program director. The committee meets biannually to assess the progress of all residents in the area of the ACGME milestones.

VIII. Faculty Meetings

- A) Faculty meetings are scheduled monthly. The Chair may elect to call a special meeting when a matter of importance requires faculty consultation. As required by the department's Pattern of Administration, minutes will be maintained of each faculty

meeting. 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. Records will be maintained of any other actions covered by this statement of administrative policy. Faculty members are informed of all faculty meetings by email to their office email address and when possible the agenda is included in the notice.

- B) The agenda is developed and approved by the Chair but any faculty or staff member may request that an item be included
- C) A quorum is constituted when a majority of the faculty eligible to transact business and vote are present.
- D) For purposes of a formal vote, a matter will be considered decided when a particular position is supported by at least a majority of all faculty members eligible to vote. Balloting will be conducted by mail or e-mail when necessary to assure maximum participation in voting. When conducting a ballot by mail or email, faculty members will be given one week to respond.
- E) 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.

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

IX. Department Faculty Teaching Load Policy

The individual faculty member's teaching load is determined by the Chair in consultation with division directors. The Chair has the ultimate responsibility to determine the balance in teaching required to meet the needs of the department. Teaching load assignments will be differential in accordance with the previous year's assessment of the faculty member. Since the Department offers little formal classroom instruction, variations in instructional activity are balanced by the amount of contact time each faculty member has with assigned students and residents in their daily activity and involvement in other scholarly activity.

X. Policy on Faculty Duties and Responsibilities

The Office of Academic Affairs requires departments to have guidelines on the distribution of faculty duties and responsibilities (See the OAA Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.4.5, <http://oaa.osu.edu/handbook.html>).

The Department Chair is responsible for assuring that every faculty member has duties and responsibilities commensurate with his or her appointment and that Departmental workload is distributed equitably among faculty. While faculty are expected to exercise self-determination in conducting their research or other scholarly activity, the Chair assigns teaching and in most cases Departmental service. In making these assignments the Chair must balance the needs of the Department with the preferences of the faculty member within the context of the Department's policy on faculty duties and responsibilities.

- 1) The department shall have a written workload policy which establishes expected levels of instructional, scholarly, and service activities for the average or benchmark faculty member. Overall workload expectations should ensure a balance of faculty time and effort spent in teaching, research,

and service. The mission of the Department will determine the relative balance desired. Achievement of the balance for the Department, through the assignment of duties to individual faculty, is the responsibility of the Chair. Many faculty members voluntarily take on a variety of professional activities that fall outside the Department's policy on faculty duties and responsibilities. These activities often benefit the Department or the University and, to the extent possible, should be taken into account in considering a faculty member's total workload. When a faculty member seeks relief from Departmental obligations or requests to be absent for any reason, a leave of absence form must be submitted and approved by the Chair.

- 2) Instructional activity includes but is not limited to teaching formal courses, the teaching and supervision of medical students, postgraduate (medical and non-medical degree) students, residents, fellows, and practicing physicians (see Section II above, Mission).
- 3) Service activity includes administrative work for the Department, College, University Hospitals, or University, participation in professional organizations, professional consultation, and service to local, state, national, and international communities.
- 4) Scholarly activity includes the production of new knowledge or creative work, creative writings, or the development of new instrumentation or techniques.
- 5) Any disagreement between the Chair and a faculty member related to faculty duties and responsibilities shall be resolved as provided for in the Department of Ophthalmology and Visual Science Pattern of Administration Section XV(3).

- 6) Departures from the average benchmark levels of instructional, scholarly, and service activity will be taken into consideration relative to promotion and tenure and salary determinations.
- 7) Faculty participation in the development of, or changes in, Departmental workload policies shall be allowed and encouraged as provided for in Department Pattern of Administration.

Fluctuations in demands and resources in the department may warrant temporary deviations from the agreed on assignments. The above policies established by the chair and faculty as they relate to workload do not constitute a contractual agreement.

A. Tenure Track Faculty – M.D. or equivalent

1. Scholarly Activity

a. Required:

- i. Conducts clinical and/or basic laboratory research related to the divisional or departmental specialty.
- ii. Participates in the development of grant proposals for submission to internal and/or external funding agencies.
- iii. Publishes articles (in peer reviewed journals) of sufficient quality and quantity to achieve recognition in a specific field of interest.
- iv. Presents scholarly works (abstracts, clinical reports, lectures, etc.) at local, regional and/or national forums of sufficient quality and quantity to achieve recognition in a specific field of interest.

b. Optional/Desirable

- i. Serves as an editor of journal(s).
- ii. Writes chapters for books; authors textbooks, instructional manuals, etc.
- iii. Prepares other scholarly works such as computer programs, etc.

2. Instructional Activity

a. Required:

- i. Participation in instructional activity with medical students, residents, fellows, and practicing physicians. Minimum requirements are:
 1. At least four months of medical students assigned as part of ophthalmology clinical clerkship
 2. At least six months of assignment of ophthalmology residents (including but not limited to precepting residents in private clinic and the OR, staffing resident clinics, staffing resident surgeries)
- ii. Participate in a minimum of 75% of scheduled departmental Grand Rounds annually
- iii. Present at least one formal lecture at a local or national conference or meeting each year.

b. Optional/Desirable: (in general, based on assignment by division director or chair)

- i. Participates in formal and informal teaching activities of medical students during the preclinical years.
- ii. Participates in curriculum development for educational programs involving medical students and residents.
- iii. Participates in continuing education activities for practicing physicians such as symposia, visiting professorships, instructional courses, etc.

3. Service

a. Required:

- i. Conducts inpatient, outpatient and operative management of patients within the Department.
- ii. Serves as a consultant for patients on other services both within the department and in other departments (May be for varying periods of time during the year as assigned by the division director or chair).

- iii. Supervises clinical care provided by medical students, residents and fellows.
- iv. Serves as a member of at least one hospital, College of Medicine or University Committee.

b. Optional/Desirable:

- i. Serves as a member of department or division committees

B. Tenure Track Faculty – Ph.D.

1. Scholarly Activity

a. Required:

- i. Conducts independent laboratory research related to the divisional or departmental specialties and personal expertise.
- ii. Collaborates in research with other members of the division, department and/or University, and other academic centers.
- iii. Publishes articles (in peer reviewed journals) of sufficient quality and quantity to achieve recognition in the field.
- iv. Presents scholarly works (abstracts, reports, lectures, etc.) at local, regional and/or national forums of sufficient quality and quantity to achieve recognition in the field.
- v. Submits grant proposals to internal and external funding sources. For promotion beyond the initial appointment level and for tenure, must have documented extramural funding.

b. Optional/Desirable:

- i. Serves as an editor or on editorial board of journal(s).
- ii. Writes chapters for books; authors textbooks, laboratory manuals, etc.
- iii. Prepares other scholarly works such as computer programs, course outlines, etc.

2. Instructional Activity

a. Required:

- i. Participates in a minimum of 75% of scheduled departmental Grand Rounds annually
- ii. Presents at least one formal lecture at a local or national conference or meeting each year.
- iii. Instructs residents and students on assignment in the specific laboratory.

3. Service

a. Required:

- i. Serves as a member of at least one hospital, College of Medicine or University Committee.

b. Optional/Desirable:

- i. Serves as a member of department or division committees

C. Clinical Faculty – M.D.

1. Scholarly Activity

a. Required:

- i. None

b. Optional/Desirable:

- i. Submits articles for publications in journals.
- ii. Submits scholarly works annually for presentation at local, regional or national forums.
- iii. Conducts clinical trials and/or basic laboratory research related to the divisional or departmental specialty.
- iv. Participates in the development of grant proposals for submission to internal and/or external funding agencies.
- v. Serves as an editor of journal(s).
- vi. Writes chapters for books; authors textbooks, instructional manuals, etc.
- vii. Prepares other scholarly works such as computer programs, etc.

2. Instructional Activity

a. Required:

- i. Participates in instructional activity with medical students, residents, fellows, and practicing physicians.
Minimum requirements are:
 1. At least four months of medical students assigned as part of ophthalmology clinical clerkship
 2. At least six months of assignment of ophthalmology residents (including but not limited to precepting residents in private clinic and the OR, staffing resident clinics, staffing resident surgeries)
- ii. Participates in a minimum of 75% of scheduled departmental Grand Rounds annually
- iii. Presents at least one formal lecture at a local or national conference or meeting each year.

b. Optional/Desirable: (in general, based on assignment by division director or chair)

- i. Participates in curriculum development for educational programs involving medical students and residents.
- ii. Participates in continuing education activities for practicing physicians such as symposia, visiting professorships, instructional courses, etc.
- iii. Conducts formal educational activities (lectures, small group discussions, oral examinations, etc.) for medical students during required and elective clerkships.
- iv. Participates in formal teaching activities (lectures, small groups, conferences, journal club, etc.) for residents/fellows serving within the specific division and the department.
- v. Participates as a student or resident advisor.

3. Service

a. Required:

- i. Conducts inpatient, outpatient and operative management of patients within the Department. (On service throughout the academic year).
- ii. Serves as a consultant for patients on other services both within the department and in other departments (May be for varying periods of time during the year as assigned by the division director or chair).
- iii. Supervises clinical care provided by medical students, residents and fellows.
- iv. Serves as a member of at least one hospital, College of Medicine or University Committee.

b. Optional/Desirable:

- i. Serves as a member of department or division committees.
- ii. Participates in the interview process for new residents within the specific division.

D. Clinical Faculty – PhD

1. Scholarly Activity

a. Required:

- i. Conducts independent research related to the divisional or departmental specialties and personal expertise.
- ii. Collaborates in research with other members of the division, department and/or University, and other academic centers.
- iii. Publishes articles (in peer reviewed journals) of sufficient quality and quantity to achieve recognition in the field.
- iv. Presents scholarly works (abstracts, reports, lectures, etc.) at local, regional and/or national forums of sufficient quality and quantity to achieve recognition in the field.

- v. Submits grant proposals to internal and external funding sources. For promotion beyond the initial appointment level, should have documented extramural funding.

b. Optional/Desirable:

- i. Serves as an editor or on editorial board of journal(s).
- ii. Writes chapters for books; authors textbooks, instructional manuals, etc.
- iii. Prepares other scholarly works such as treatment plans, course outlines, etc.

2. Instructional Activity

a. Required:

- i. Participates in a minimum of 75% of scheduled departmental Grand Rounds annually
- ii. Presents at least one formal lecture at a local or national conference or meeting each year.
- iii. Instructs residents and students when involved in related research activities.

3. Service

a. Required:

- i. Serves on at least one College of Medicine, Department or University committee.
- ii. Engages in clinical activities, if appropriate for the faculty member's discipline, as assigned by Department Chair or division director

b. Optional/Desirable:

- i. Serves on review sections, editorial boards, etc.

E. Research Faculty

1. Scholarly Activity

a. Required:

- i. Conducts independent laboratory research related to the divisional or departmental specialties and personal expertise.
- ii. Collaborates in research with other members of the division, department and/or University, and other academic centers.
- iii. Publishes articles (in peer reviewed journals) of sufficient quality and quantity to achieve recognition in the field.
- iv. Presents scholarly works (abstracts, reports, lectures, etc.) at local, regional and/or national forums of sufficient quality and quantity to achieve recognition in the field.
- v. Submits grant proposals to internal and external funding sources. For promotion beyond the initial appointment level and for tenure, must have documented extramural funding.

b. Optional/Desirable:

- i. Serves as an editor or on editorial board of journal(s).
- ii. Writes chapters for books; authors textbooks, laboratory manuals, etc.
- iii. Prepares other scholarly works such as computer programs, course outlines, etc.

2. Instructional Activity

- i. Participates in a minimum of 75% of scheduled departmental Grand Rounds annually
- ii. Presents at least one formal lecture at a local or national conference or meeting each year.

3. Service
 - a. Required:
 - i. Serves on at least one College of Medicine, department or University committee.
 - b. Optional/Desirable:
 - ii. Serves on review sections, editorial boards, etc.

F. Associated Faculty – M.D.

1. Scholarly Activity
 - a. Required:
 - i. No required activity; however, for promotion beyond entry level, the standards used for clinical faculty are applied.
 - b. Optional:
 - i. Publication; presentation; clinical and laboratory research; other scholarly activities.
2. Instructional Activities
 - a. Required (one or more of the following):
 - i. Conducts formal teaching activities (lectures, small groups, etc.) for medical students when assigned as part of basic clerkship or elective.
 - ii. Participates in formal and informal teaching activities for OSU residents and/or fellows within the division or the department.
 - iii. Participates in OSU continuing education activities for practicing physicians such as symposia, visiting professorships, instructional courses, etc.
3. Service
 - a. Required:
 - i. Supervises clinical care done by medical students, residents and/or fellows when assigned by division director or chair.

- ii. Serves on division, department and/or College of Medicine committees when assigned by division director or chair.

G. Parental Modification of Duties

The Department of Ophthalmology and Visual Science 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. See the College pattern of administration at (<http://oaa.osu.edu/governance.html>) for details.

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

XI. Allocations of Department Resources

Space

The Chair will make space assignments in consultation with the space committee and the faculty considering primarily the principle of proximity of faculty members to their primary area of activity related to patient care and teaching. Space for staff support will be located, whenever possible, to facilitate close interaction with faculty and patients. In allocating space, an attempt will be made to provide each faculty or section with adequate space for resources necessary to conduct their assigned duties.

Research space will be assigned and reassigned by the Chair with the following priorities:

- 1) Faculty with research funded by grants or contracts administered through the OSU Research Foundation.
- 2) Faculty members with research funds from other sources, e.g., gifts, development funds, department enrichment funds, OSU internal grants, etc.
- 3) New faculty with research interests.
- 4) Faculty members with funding in the past 2 years.
- 5) Other faculty and departmental projects.

The Chair will determine the policies governing allocation of release time funds to the principal investigator, the Department, and the College in accordance with existing requirements.

Fiscal

Annually, the chair in consultation with the Dean, will ascertain available Departmental and College funds and will make decisions on an equitable allocation of these funds to support the various needs of the department.

The allocation of salary funds is discussed in the Appointments, Promotion and Tenure Document (<https://oaa.osu.edu/governance.html>). Salary increases and rewards will take into consideration faculty member's performances in advancing the mission of the department, college, and university. At annual budget time each faculty is requested to provide the chair with a ranking of his/her performance. Decisions on recommending salary increases are made based on the chair's annual review of the faculty member and the ranking submitted. The chair's

recommendation for salary increase is transmitted to the dean's office for approval.

Faculty who believe their University base salary is inequitable should refer to <http://oaa.osu.edu/handbook.html> for information about appeals processes.

XII. Leaves and Absences

The university's policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>) and Office of Human Resources Policies and Forms website, <https://hr.osu.edu/policies-forms>. The information provided below supplements these policies.

Ordinary leave of absence by a faculty requires that a leave of absence form be submitted to the chair for approval. The chair will take into consideration the length of time requested and the effect the leave will have on the faculty member's duties and responsibilities before approval. Paid sick leave should be used before a leave of absence is granted for illness.

An unpaid leave of absence may be requested for personal or professional reasons. Leaves of absence are not granted to untenured faculty in their terminal year of employment or to faculty who have accepted a new position. Unpaid leave of absence must be approved by the Chair, Dean of the College, Office of Academic Affairs, and the Board of Trustees. The information provided below supplements these policies.

- A. **Discretionary Absence.** Faculty are expected to complete an Application for Leave form (<https://eleave.osu.edu>) 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 semester is substantial. Faculty Rules require that the Office of Academic Affairs approve any discretionary absence of ten or more days (see Faculty Rule 3335-5-08, <https://trustees.osu.edu>).

- B. Absence for Medical Reasons.** When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave form (<https://eleave.osu.edu>) 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. For additional details see OHR Policy 6.27 (<https://hr.osu.edu/public/documents/policy/policy627.pdf>).
- C. Unpaid Leaves of Absences.** 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. The University's policies with respect to unpaid leaves of absence are set forth in OHR Policy 6.45 (<https://hr.osu.edu/public/documents/policy/policy645.pdf>).

- D. **Special Assignments.** SAs are normally one semester in length and are designed to provide a faculty member time away from classroom teaching and some other responsibilities in order to concentrate effort on research. SAs are usually, but 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.

Faculty members who desire an SA should discuss the matter with the chair during annual evaluation or as

soon thereafter as possible. The chair will indicate whether submission of a full proposal articulating the purpose and nature of the SA is appropriate. The chair will normally announce decisions regarding SAs for the next academic year no later than June 30 of the previous academic year, but retains the option of making decisions regarding proposals at other times when circumstances warrant such flexibility. Additional information on Special Assignments is presented in the Office of Academic Affairs Special Assignment Policy (<http://oaa.osu.edu/assets/files/documents/specialassignment.pdf>).

- E. **Faculty Professional Leave.** A Faculty Professional Leave constitutes a more formal departure from academic duties than a Special Assignment and may be one or two semesters in length for 9-month faculty and one or two semesters 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 (see the OAA Policy on Faculty Professional Leaves, <http://oaa.osu.edu/assets/files/documents.facultyprofessionalleave.pdf>).

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 Semester 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.

XIII. Supplemental Compensation and Paid External Consulting Activity

Information on faculty supplemental compensation is presented in the OAA Policy on Faculty Compensation (<http://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>). Information on paid external consulting is presented in the university's Policy on Faculty Paid External Consulting (<http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>). The information provided below supplements these policies.

The Department of Ophthalmology and Visual Science adheres to the University policy on paid external consulting. The purpose of this policy is to establish guidelines and reporting requirements for paid consulting external to the University that is undertaken by faculty members, and that is related to their areas of professional expertise. 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 duties at an acceptable level, the extent to which the extra income activity

appears likely to interfere with 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 members are encouraged to engage in paid external consulting to the extent that these activities are clearly related to the mission of the University, and the Department, and the expertise of the faculty member, provide direct or indirect benefits to the University and Department, and do not entail a conflict of interest as defined in the University Conflict of Interest Policy (<http://orc.osu.edu/files/2013/02/Policy-on-Faculty-Financial-Conflict-of-Interest.pdf>).

A faculty member must complete the Paid External Consulting Approval Form (<https://oaa.osu.edu/assets/files/documents/Form201.pdf>) for each consulting arrangement. All absence from duty of one full business day or more resulting from consulting, and all absences resulting from consulting that causes a missed commitment requires the prior approval of the chair and the dean.

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

XIV. Financial Conflicts of Interest

Information on faculty financial conflicts of interest is presented in the university's Policy on Faculty Financial Conflict of Interest (<http://orc.osu.edu/files/2013/02/Policy-on-Faculty-Financial-Conflict-of-Interest.pdf>). 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.

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.

XV. 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) **Medical student complaints and grievances** will be reviewed first by the Department of Ophthalmology Medical Student Clerkship Director and if necessary the Chair, who will first ascertain whether or not the student requires confidentiality. If confidentiality is not required, the Chair will investigate the matter as fully and fairly as possible and provide a response to both the student 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 on options to pursue without prejudice as to whether the complaint is valid or not. The student may be referred to the Associate Dean for

Student Life and finally the Dean of the College. Note that student complaints about courses, grades, and related matters are brought first 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.

- B) **Staff grievances** will normally be referred to the Department chief administrator if not resolved at the section unit level. If not resolved through the departmental chief administrator, then the matter will be referred to the Department Chair. Instances of sexual misconduct must be reported to the Chair or to the appropriate office in the Office of Human Resources (www.hr.osu.edu/).
- C) **Faculty grievances** related to a number of issues including salary, space assignment, teaching assignment, promotion and tenure, annual review evaluation, and other related faculty issues are first reviewed by the Chair, and if necessary the Dean, and the Office of Academic Affairs.
- D) Known instances of **research misconduct** must be reported to the chair, the dean, and the Office of Research under the University Research Misconduct Policy.
- E) **Faculty Misconduct/Incompetence.** Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04 (<https://trustees.osu.edu/>).

- F) **Faculty Promotion and Tenure Appeals.** Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05 (<https://trustees.osu.edu>).
- G) **Sexual Misconduct and Relationship Violence.** The University's policy and procedures related to sexual misconduct are set forth in OHR Policy 1.15
<https://hr.osu.edu/public/documents/policy/policy115.pdf>
- H) **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 (see <http://oaa.osu.edu/coam.html>).
- I) **Code of Student Conduct**
In accordance with the Code of Student Conduct (<http://trustees.osu.edu/rules/code-of-student-contact.html>), faculty members will report any instances of academic misconduct to the Committee on Academic Misconduct.
- J) **Professional Student Honor Code**
The College of Medicine has a student honor code. See https://medicine.osu.edu/students/life/resources/honor_code/Pages/index.aspx.

History of this Document

This document was accepted and approved by the Department of Ophthalmology faculty on May 25, 1989. It was returned by the Office of Academic Affairs on June 23, 1989. Academic Affairs requested that we include additional provisions as outlined in Faculty Rule 3335-3-35.

The revised document was presented to the faculty on November 30, 1989 and approved. Academic Affairs approved the revised document on December 18, 1989.

On July 15, 1993 the faculty approved the Faculty Workload Policy **as an addendum** to the Patterns of Administration.

On October 29, 1993, Dr. Ron St. Pierre communicated that Academic Affairs requested that the Faculty Workload Policy needed to be revised to include minimum and maximum percentage assignments under the area of instruction.

The Faculty Workload Policy was again revised and presented to the faculty for a vote on November 4, 1993. The policy was approved by the faculty.

On October 8, 1993, the Provost requested an update of the Patterns of Administration and the Criteria for Promotion, Tenure and Salary Increase documents. This was requested to comply with the Faculty Rule that after reappointment of a chair, these documents should be presented to the faculty for consultation.

The Patterns of Administration document was revised and approved by the faculty on August 17, 1995.

The Patterns of Administration document was reaffirmed by the Ophthalmology faculty at a meeting held on August 14, 1997.

The Pattern of Administration document was approved by the

Ophthalmology faculty at a meeting held on September 7, 2000.

The document was returned for revision on October 11, 2000.

This document was revised and approved by the faculty at a meeting held on December 8, 2000.

The document was returned for revision on January 16, 2001.

This document was reviewed and revised on September 19, 2002.

This document was revised and approved by the Ophthalmology Faculty at our monthly meeting on October 5, 2006.

This document was returned by Academic Affairs for revisions. These were accomplished and presented to Faculty Members for approval on November 2, 2006.

This document was approved with the revisions by the Ophthalmology Faculty at our monthly meeting on November 2, 2006.

This document was reviewed and reaffirmed by the Ophthalmology Faculty at a meeting held on November 13, 2008.

This document was returned by the Office of Academic Affairs for revisions on December 17, 2008.

This document was approved with the revisions by the Ophthalmology Faculty at our monthly meeting on March 12, 2009.

This document was approved with the revisions by the Ophthalmology Faculty at our monthly meeting on April 21, 2016.

This document was approved with revisions by the Ophthalmology Faculty at our monthly meeting on May 18, 2017.