

**PATTERN OF ADMINISTRATION  
COLLEGE OF OPTOMETRY**

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## **Pattern of Administration College of Optometry**

### **I. Introduction**

The College of Optometry operates as a unified college/department unit for the purposes of administering and serving its teaching, research and service missions. This document provides a brief description of the College of Optometry and its policies and procedures. It supplements the Rules of the University Faculty (<http://trustees.osu.edu/university/facultyrules>) and other policies and procedures of the University to which the college and its faculty are subject. University rules, policies and procedures, and changes in them, take precedence over statements contained in this document.

This Pattern of Administration is subject to continuing revision. Per university guidelines it must be reviewed and either revised or reaffirmed within a year of the appointment or reappointment of a dean of the College of Optometry; however, revisions may be made at any time as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the Office of Academic Affairs.

### **II. Mission of the College of Optometry**

The mission of the College of Optometry at The Ohio State University includes the following objectives:

- To educate excellent optometrists who reflect our diverse communities through our professional, residency, and continuing education programs.
- To conduct excellent research in vision science, through our graduate education and research programs.
- To provide excellent optometric care to the community, through our teaching clinics, externship sites, and residency programs.

An additional mission of the College of Optometry, shared with the Graduate School of The Ohio State University, is to educate and train vision scientists for the advancement of those teaching, research, and service missions above through its Graduate Program in Vision Science.

### **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/university/facultyrules>) 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 the college include tenure-track, clinical, research, and associated faculty.

The College of Optometry makes clinical faculty appointments. Clinical faculty titles are assistant professor of clinical optometry, associate professor of clinical optometry, and professor of clinical optometry. The number of clinical faculty may comprise no more than 40% of the tenure-track, clinical, and research faculty (University Rule 3335-7-03). Clinical faculty have governance rights and may vote in all matters of college governance except tenure-track appointment, promotion, and tenure decisions.

The College of Optometry makes research faculty appointments. Research faculty titles are research assistant professor, research associate professor, and research professor. University Rule 3335-7-32 stipulates that research faculty cannot exceed 20% of the number of tenure-track faculty, unless otherwise authorized by a majority vote of the tenure-track faculty. A 30% limit was authorized previously by a vote of College of Optometry tenure-track faculty (Faculty Advisory Committee Minutes, 6/30/2004). Clinical faculty do not affect this ratio. Research faculty have governance rights and may vote in all matters of college governance except tenure-track appointment, promotion, and tenure decisions and clinical appointment and promotion decisions.

Associated faculty with compensated FTEs of at least 50% have limited governance rights. They can attend monthly faculty meetings and may vote in those meetings. They are not eligible to vote on any appointment, promotion, and tenure decisions in any faculty track.

Emeritus faculty in this college may be invited to participate in discussions on nonpersonnel 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 college is provided in the Appointments, Promotion and Tenure Document.

#### **A. Distinguished Professor**

Distinguished tenured faculty members within the College of Optometry may be awarded the title Distinguished Professor in recognition of excellence in teaching, research, service, and demonstrated extramural funding and/or national/international impact. The College of Optometry Distinguished Professorship is an honorific title, not a new faculty rank.

The title may be awarded to any tenured professor in the college or new faculty recruited to the college at the rank of tenured professor. To be eligible, internal faculty must not already hold a titled position (e.g., Eminent Scholar, Distinguished University Professor, endowed professorship, or endowed chair) and must have been at the tenured full professor rank for at least two years at Ohio State with at least five years total as a faculty member at Ohio State. External candidates recruited into this position must be eligible for full professor rank at Ohio State.

The college's Executive Committee will evaluate eligible faculty members' dossiers and make selections. The appointments will be made by the dean.

Successful candidates from within the college will receive a \$5,000 addition to their base pay and the title "Distinguished Professor of Optometry and Vision Science." A full-time

faculty member with this title may be assigned reduced teaching loads and is expected to mentor faculty and to help lead the college in achievement of its strategic plan. Additional resources, such as research funds or graduate students/postdoctoral trainees commensurate with the faculty members' research trajectory, may also be awarded at the discretion of the dean.

The initial appointment is for up to five years. Distinguished Professors are eligible for subsequent terms of five years based on a favorable review by the Executive Committee. Although the increase in base pay is permanent, i.e., it extends beyond the term of appointment, the title can only be used during the formal term. This title is limited to 20% of the full professors within the college.

## **V. Organization of College Services and Staff**

The College of Optometry includes the four-year Doctor of Optometry program (OD degree) and the Graduate Program in Vision Science (MS and PhD degrees in Vision Science).

The Associate Dean of Academic Affairs oversees the professional program. The Associate Dean for Clinical Services is responsible for all clinic operations. The Director of Externship Program oversees all external fourth year student rotations. The Associate Dean for Research oversees research activities and the Graduate Program in Vision Science.

The Chief Administrative Officer reports to the dean and serves as senior fiscal officer, senior human resources professional, and chief of staff. The business office, facilities management, information technology, research administration, and human resources are the purview of the Chief Administrative Officer.

The Office of Student Affairs is under the direct supervision of the Associate Dean of Academic Affairs and has a director, manager of admissions and financial aid, registrar and program assistant.

Additional staff members who report directly to the dean include the Development Officer and the Director of Marketing and Communications.

## **VI. Overview of College Administration and Decision-Making**

Policy and program decisions are made in a number of ways: by the faculty as a whole, by standing or special committees and task forces of the college, by the Executive Committee, or by the dean. The nature and importance of any individual matter determines how it is addressed. College governance proceeds on the general principle that the more important the matter to be decided, the more widespread the agreement on a decision needs to be. Open discussions, both formal and informal, constitute the primary means of reaching consensus on decisions of central importance.

## VII. College Administration

### A. Dean

The dean of the college serves as its administrative head. The dean's main responsibilities are to provide active leadership in the promotion, direction, and support of educational and research activities of the college; to maintain a high level of morale among the faculty; and to encourage the spirit of learning among the students. The general administrative responsibilities of the dean are defined in the rules of the University Faculty (Rule 3335-3-29, <http://trustees.osu.edu/rules/university-rules/rules3/ru3-29-947.html> and Rule 3335-3-35, <http://trustees.osu.edu/rules/university-rules/rules3/ru3-35.html>). These rules require the dean to develop, in consultation with the faculty, a pattern of administration with specified minimum content. The dean will:

- Encourage research and educational investigations;
- Ensure that all faculty are offered the privileges and responsibilities appropriate to their rank;
- Promote improvement of instruction by providing for the evaluation of each course, including written evaluation by students and peer review by faculty;
- Operate the business of the college with efficiency;
- Plan a progressive program with the faculty;
- Evaluate continuously the instructional and administrative processes and lead in the study of methods to improve them;
- Preside at meetings of the faculty and appoint all committees;
- Approve courses of study for students, warn delinquent students, and recommend appropriate student disciplinary action to the appropriate university disciplinary body or official;
- Present candidates for degrees to the president on behalf of the faculty;
- Serve as a member of the council of deans;
- Make recommendations to the executive vice president and provost concerning the college budget and appointments/promotions of faculty and staff;
- Provide a schedule of regular faculty meetings before the start of each semester (Note: Additional faculty meetings may be called by the dean at his/her discretion or at the request of at least five faculty members. A quorum, consisting of at least 50% of the faculty eligible to vote, is required in order for a vote to be taken.);
- Arrange to maintain the minutes of all faculty meetings and to maintain records of all other actions covered by the pattern of administration;
- Consult with the faculty and relevant college committees on all important policy matters;
- Prepare, after consultation with the faculty, an appointment, promotions, and tenure document setting forth the criteria and procedures for appointments and/or dismissals, salary adjustments, promotions in rank, and matters affecting the reappointment and tenure of the faculty; and
- Evaluate faculty members annually and inform them of their right to review their primary personnel file and to place in that file a response to any evaluation, comment, or other material contained in the file.

## **B. Other Administrators**

The associate deans must be members of the faculty of the college and are expected to serve terms concurrent with that of the incumbent dean. They will assist the dean in a variety of administrative matters. They will serve in place of the dean at his/her request during periods of absence. The college secretary will assist the dean in matters of student records and scheduling and as otherwise needed.

Governing officers are obliged, as appropriate, to abide by the principle of majority rule, in all matters covered by this pattern of administration. Whenever majority faculty rule is not followed, the dean or his/her designee will explain the reasons for the departure in order to enhance communication and to facilitate understanding within the faculty. Where possible, this statement of reason will be provided before the departure occurs. This explanation will outline the decision of the majority of the faculty, the decision of the dean or his/her designee, and the reasons the decisions differ. The explanation shall be communicated to the faculty in writing, where possible, or at a faculty meeting, with an opportunity provided for faculty to comment.

Faculty duties and responsibilities in instruction, scholarship, and service are assigned by the dean in consultation with the Executive Committee, the associate and deans, the individual faculty member, and other advisory bodies of the college. Every effort will be made to make fair and equitable assignments. Factors used to determine duties and assignments may include, but are not limited to, tenure status, type of faculty appointment, research responsibilities, clinical responsibilities, and rank.

## **C. Committees**

The college maintains standing committees to carry out its business and mission. The chair and members of each committee are appointed by the dean, following consultation with the tenure-track, clinical, and research faculty, and are reviewed annually. The single exception to this process is the Faculty Advisory Committee, which elects its own Chair and Secretary and is composed of all tenure-track, clinical and research faculty. The dean is an ex officio member of all college committees, non-voting on the Committee of the Eligible Faculty.

A quorum for each committee meeting is constituted when a simple majority of the voting members are in attendance. Each committee's meeting frequency is the purview of the committee but should be specified by the committee chair at the beginning of each academic year. The responsibility and representation of each committee is given below.

Admissions Committee:

Receives, reviews, and monitors through to final disposition all student applications to the College of Optometry. The committee fosters fair and equitable admissions standards, and reviews and recommends admissions policies. The committee also makes recommendations to the dean on the most appropriate and effective assignment of scholarship resources. The chair is appointed by the dean.

- Number of committee members: variable
- Faculty: 3 to 10 members appointed by the dean
- Director of Student Affairs

Clinic Committee:

To review the utilization of resources and facilities assigned to the clinics and to recommend to the dean means of enhancing the quality of clinical instruction and patient care. Number of committee members: variable

- Faculty: variable
- Associate Dean for Clinical Services (Chair)
- Chief Administrative Officer
- Systems Manager
- Clinic staff: as appointed by the Associate Dean for Clinical Services
- Associate Dean of Academic Affairs

College Investigational Committee

In compliance with University Rule 3335-5-04, the College of Optometry shall establish and maintain a standing committee designated as the College Investigational Committee. This committee shall be composed of three tenured faculty who do not hold decanal titles. A faculty member who is the object of a complaint/investigation or who is judged by other members of the committee to have a significant conflict of interest in a particular matter will not serve in that matter's investigation. In order to enhance the conduct and fairness of the investigation, or if the number of qualified members is fewer than three, the dean, after consultation with the members, may appoint a tenured member of another college to the committee for service solely on that investigation. Meets as necessary.

- Number of committee members: 3

Continuing Education Committee

To recommend to the Dean continuing education programs timely to the profession of optometry.

- Number of members: 4-7
- Faculty: No fewer than 3
- President of Optometric Educators, Inc.
- Alumni Coordinator
- Chief Administrative Officer

### Curriculum Committee

To review the courses and curriculum, to recommend changes and improvements, and to foster high standards of instruction. Additionally, this committee is responsible for developing and monitoring remediation opportunities for students in academic difficulty.

- Number of members: 16; 11 voting members
- Faculty: 7 appointed by the dean
- Director of Student Affairs (non-voting)
- College Secretary (non-voting)
- Recording Secretary (non-voting)
- IT Director (non-voting)
- Faculty Teaching Technology Director
- Student: President of Student Council (or designee)
- Associate Dean of Academic Affairs
- Associate Dean for Clinical Services
- Dean (non-voting)

### Committee for Inclusion and Diversity

To coordinate all activities relating to the enhancement of diversity at the College of Optometry. The Committee is committed to the establishment and maintenance of an academic community that is characterized by diversity, equal educational and employment opportunity, and fair treatment.

- Number of committee members: 7
- Faculty: 3
- Staff: 4

### Electronic Health Records (EHR) Committee

To coordinate the ongoing activities related to EHR in the clinic, including but not limited to troubleshooting, improving workflow, and implementations of upgrades.

- Number of committee members: 8
- Associate Dean for Clinical Services (chair)
- IT Director
- Systems Manager
- Manager, Medical Records Department
- Staff: 4

### Executive Committee

To serve in such capacity as required by Faculty Rule 3335-5-15 or in other matters as requested by the Dean. The Dean of the college will chair the Executive Committee.

- Number of committee Members: 6
- Dean (Chair)
- Associate Dean of Academic Affairs
- Associate Dean for Research
- Associate Dean for Clinical Services
- Chief Administrative Officer (non-voting)
- Executive Assistant to the Dean (recording secretary, non-voting)

### Faculty Advisory Committee

Faculty in the College of Optometry play a significant role in determining the direction of the College and its programs in teaching, research, and service. Such a role can be achieved only if the faculty share a general concern for the present and future well-being of the college; enjoy an open and creative relationship with the administrative officers of the college; and have a mechanism for effectively communicating ideas and viewpoints concerning both opportunities and challenges presented to the college and its program. A flexible, interactive committee structure is critical to open dialogue and the orderly transaction of the College's business. To these ends, a Faculty Advisory Committee to the Dean of the college is defined here.

The Faculty Advisory Committee will serve as an advisory body to the Dean to promote effective communication between the faculty and the administrative officers of the college.

The Chair of the Faculty Advisory Committee, on the consensus of that body, may request of the Dean that items of concern be placed on the agendas of future faculty meetings. The Dean must include the items on the agenda of a faculty meeting or respond to the Faculty Advisory Committee in writing as to why the items were not included. The Faculty Advisory Committee maintains official minutes, which are made available to any faculty member upon request.

Faculty Advisory Committee membership consists of all tenure-track, clinical, and research faculty members, as defined by the Rules of the University Faculty (Sections 3335-5-19).

The Faculty Advisory Committee elects a chair and a secretary from the non-probationary faculty. Meetings of the Faculty Advisory Committee may be called by the chair, the dean, or by two members of the Faculty Advisory Committee. The chair prepares the meeting agenda and presides. The secretary records and preserves orderly minutes. A quorum for Faculty Advisory Committee meetings is > 50% of its members. Faculty members with decanal titles are non-voting members.

- Number of members: Variable
- Faculty: All tenure-track, clinical, and research faculty

### Functional Standards Committee

To review cases where the applicant's and/or enrolled student's ability to meet the functional standards of the college's professional program is in question. The college's "Functional Standards for Didactic and Clinical Education" document will serve as the basic resource for this committee.

- Number of members: 11
- Faculty: 1 basic science instructor
- Associate Dean of Academic Affairs (Chair)
- Associate Dean for Clinical Services
- Chief of Primary Vision Care, Contact Lens, Advanced Ocular Care, Vision Rehabilitation, Binocular Vision and Pediatrics, and Eyewear Gallery Services
- Director of Student Affairs
- University ADA Coordinator (non-voting)

Health Insurance Portability and Accountability Act (HIPAA) Steering Committee

To manage the HIPAA obligations for the College of Optometry. This committee develops policies for the College of Optometry with respect to its HIPAA obligations; develops training for the College of Optometry with respect to its HIPAA obligations; reviews risk assessments and audits to ensure that the College is meeting its HIPAA obligations; monitors and plans for any updates with respect to HIPAA or related laws; and enforces policies with respect to HIPAA compliance.

Number of members: 6

- Associate Dean for Clinical Services (Chair)
- HIPAA Security Officer/Director IT
- HIPAA Privacy Officer/Medical Records Manager
- HR Administrator
- Building Coordinator
- Research representative (as appointed by Dean)

Honor Council

To promote appropriate conduct in the professional academic program by: encouraging the highest standard of personal conduct; promoting the highest quality professional education; promoting the highest quality of patient care; and establishing a system to resolve allegations of academic and professional misconduct. The chair will be one of the three faculty members of the committee, appointed by the dean.

- Number of members: 8
- Faculty: 3
- Students: 4, to include the first year class vice-president; second year class vice-president; third year class vice-president; fourth year class vice-president
- Honor Council Coordinator: Professor or Associate Dean from the tenure-track, clinical, or research faculty (non-voting)

Research and Graduate Studies Committee (Liaison to the Graduate School)

To encourage and facilitate research in the College and to oversee disbursement of internally available grant programs. To review all course and student matters of common interest to the College's programs in vision science and those of the Graduate School, and to make timely recommendations to the Dean of the College relative to those matters.

- Number of members: 6
- Faculty: 5 tenured faculty members as appointed by the dean
- Associate Dean for Research (chair)

Residency Programs Committee

To enhance the clinical education of optometry students and residents.

Number of members: Variable

- Residency Coordinators: Variable
- Director of Residencies (Chair)
- Associate Dean for Clinical Services
- Director of Externship Program
- College Secretary

Student Awards Committee

To coordinate the announcement, selection, and dissemination of various college, industry, and organization awards, grants, and scholarships to students in the professional program. The chair is appointed by the dean.

- Number of members: Variable
- Faculty: members appointed by the dean
- Staff: Director of Financial Aid, other members appointed by the dean

Student Special Events Committee

To coordinate the planning and oversight of annual professional program student events including Visit Day, Convocation, Graduation Banquet, New Student Orientation, White Coat Ceremony, and the Welcome Dinner.

- Number of members: Variable
- Director of Student Affairs (Chair)
- Associate Dean of Academic Affairs
- Student Affairs staff members
- Building Coordinator
- Executive Assistant to the Dean
- Director of Marketing and Communications
- Graphic Artist
- Webmaster
- Students

Staff Advisory Committee:

To promote, as a liaison to the University Staff Advisory Committee, communication and effective working relationship among staff, faculty and administration. The chair is appointed by the dean.

- Number of members: Variable
- Staff: members appointed by the dean

Student Advisory Committee:

To advise the dean on matters relating to optometry student interests and activities. The dean or his/her designee shall conduct meetings of the Student Advisory Committee.

Number of members: 17

- Students: President of Student Council; President of AOSA chapter; President of NOSA chapter; President of BSK; President of EΨE; President of FCO; President of SVOSH; Optometry Representative to IPC; Optometry I President; Optometry II President; Optometry III President; Optometry IV President; President of the Student Chapter of the American Academy of Optometry; President of the Sports Vision Club; President of the Private Practice Club; President Optometry Ambassadors; President Student Lions Club
- Dean (convener)
- Director of Student Affairs
- Associate Dean of Academic Affairs

### **VIII. FACULTY MEETINGS**

The faculty and dean will meet on a monthly basis to ensure ongoing communication and to conduct the business of the college. Any College of Optometry faculty member with a tenure-track, clinical, research, or associated faculty title with a salaried appointment totaling 50% FTE or more, is eligible to vote at a faculty meeting. Meeting agendas are set by the dean. Any regularly scheduled faculty meeting may be cancelled by the dean if the agenda does not warrant such a meeting. A meeting of the college faculty will also be scheduled on written request of at least 25% of the college faculty. The dean will make reasonable efforts to have the meeting take place within one week of receipt of the request.

The dean 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 college's Appointments, Promotion and Tenure Document. For purposes of discussing college business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum will be defined as a simple majority of all faculty members eligible to vote. Either the dean or one-third of all faculty members eligible to vote may determine that a formal vote conducted by written ballot is necessary on matters of special importance. For purposes of a formal vote, a matter will be considered decided when a particular position is supported by a simple 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. When a matter must be decided and a simple majority of all faculty members eligible to

vote cannot be achieved on behalf of any position, the chair will necessarily make the final decision.

The college 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 faculty meetings will be conducted with no more formality than is needed to attain the goals of full and free discussion and the orderly conduct of business; however, Robert's Rules of Order will be invoked when more formality is needed to serve these goals.

## **IX. DISTRIBUTION OF FACULTY DUTIES AND RESPONSIBILITIES**

The university's policy with respect to faculty teaching load is set forth in the Office of Academic Affairs Policies and Procedures Handbook, Section 1.4.5 (<http://oaa.osu.edu/handbook.html>). The information below supplements these policies.

All members of the faculty are expected to contribute to the research, teaching, and service missions of the college; however, time devoted to these activities will necessarily and appropriately vary among faculty members. A single formula applicable to all faculty is not feasible. The guidelines outlined here do not constitute a contractual obligation. Fluctuations in the demands and resources of the college and the individual circumstances of faculty members may warrant temporary deviations from these guidelines. Assignments and expectations for the upcoming year are addressed as part of the annual review by the dean (for tenure-track, clinical, and research faculty) or associate dean of academic affairs (for associated faculty).

Faculty are expected to engage in didactic, laboratory, and clinic-based teaching of professional and graduate students. Individual assignments will vary depending on expertise and other responsibilities. In addition, assignments will be evaluated with regard to the percentage of funded release time from extramural sources that provide full indirect cost recovery.

During on-duty periods, faculty members are expected to be available for interaction with students, research, and college meetings and events even if they have no formal course assignment. Students must have access to their didactic course teachers and their clinical attendings, either through regular, scheduled office hours or the ability to schedule individual meetings in a timely manner. On-duty faculty members should not be away from campus for extended periods of time unless on an approved leave or on approved travel.

Faculty are expected to engage in research and scholarly activity relevant to the discipline of optometry and vision science. Expectations will vary depending on the faculty member's track and rank and other assignments as delineated in the College of Optometry's Appointment, Promotion and Tenure document.

A full-time faculty member's primary professional commitment is to Ohio State University and the guidelines below are based on that commitment. Faculty who have professional commitments outside of Ohio State during on-duty periods (including teaching at another institution; conducting research for an entity outside of Ohio State; external consulting) must disclose and discuss these with the dean in order to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the OAA Faculty Conflict of Commitment policy (<http://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>).

## **A. Tenure-track Faculty**

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

### **Teaching**

All tenure-track faculty are expected to contribute to the college's teaching, including courses in the professional and/or graduate curricula. The standard teaching assignment for full-time tenure-track faculty members is one or two courses per year in the professional program and/or the graduate program in vision science. Faculty members are also expected to advise graduate students.

Adjustments to the standard teaching assignment may be made to account for teaching a new class, the size of the class, whether the class has a laboratory component, whether the class is taught on-line or team-taught, and other factors that may affect the preparation and/or contact time involved in teaching a course.

The standard teaching assignment may also vary for individual faculty members based on their research and/or service activity. Faculty members who are especially active in research, e.g., those with formal release time from extramural funding, can be assigned an "enhanced research" status that includes a reduced teaching assignment. Likewise, faculty members who are relatively inactive in research can be assigned an "enhanced teaching" status that includes an increased teaching assignment. Faculty members who are engaged in extraordinary service activities to the college, the university, and/or, in special circumstances, professional organizations in optometry and/or vision science, can be assigned an "enhanced service" assignment that includes a reduced teaching assignment.

### **Research/Scholarship**

All tenure-track faculty are expected to be engaged in scholarship as defined in the colleges Appointment, Promotion and Tenure document. Active engagement in scholarship will be defined as regular publication in high quality peer-reviewed journals as well as in other appropriate venues, e.g., edited book chapters. Faculty are expected to attract extramural funding on a regular basis to support their research. Extramural funding of faculty release time plus graduate student

and/or postdoctoral support is strongly encouraged. Tenure-track faculty members are also expected to actively seek ways to ensure that the results of their research and knowledge discovery benefit society. This includes seeking appropriate opportunities to obtain patents and to engage in other commercial activities stemming from their research.

Tenure-track faculty members' research activities and productivity will be a major focus of the annual review process with the dean.

### **Service**

Tenure-track faculty members are expected to be engaged in service and outreach to the college, university, professional or research associations, optometric profession, and community. Typically this will include service on at least two committees within the college. This pattern can be adjusted depending on the nature of the assignment (e.g., service as a committee chair, service on a time-intensive committee, organizing a professional conference, leadership in an educational outreach activity, and administrative service in the college or university).

Probationary faculty, i.e., Assistant Professors, are required to participate as active members of the Faculty Advisory Committee. Additional service is generally discouraged, both inside and outside the college, unless research productivity is exceptional.

All faculty are expected to attend and participate in faculty meetings, Faculty Advisory Committee meetings, student recruitment, welcoming, and retention activities, and other college events (e.g., convocation, commencement, and the annual white coat ceremony).

### **Special Assignments**

Information on special assignments is presented in the Office of Academic Affairs Special Assignment Policy (<http://oaa.osu.edu/assets/files/documents/specialassignment.pdf>). The information provided below supplements these policies.

## **B. Clinical Faculty**

Clinical faculty members are expected to contribute to the university's mission via teaching and service, and, to a lesser extent, scholarship.

### **Teaching**

All clinical faculty are expected to contribute to the college's teaching in courses or clinical situations involving live patients, courses, instructional situations involving the simulation of live patients, and/or or courses or instructional situations involving professional skills. The standard teaching assignment for full-time clinical faculty members is two didactic courses per academic year plus

clinical attending assignments to result in an average of 3.5 days per week contact time.

### **Research/Scholarship**

All clinical faculty are expected to be engaged in scholarship as defined in the colleges Appointment, Promotion and Tenure document.

### **Service**

Clinical faculty members are expected to be engaged in service and outreach to the college, university, optometric profession, and community. Typically this will include service on at least two committees within the college. This pattern can be adjusted depending on the nature of the assignment (e.g., service as a committee chair, service on a time-intensive committee, organizing a professional conference, leadership in an educational outreach activity, and administrative service in the college or university).

Probationary faculty, i.e., Assistant Professors, are required to participate as active members of the Faculty Advisory Committee. Additional service is generally discouraged, both inside and outside the college, unless research productivity is exceptional.

All faculty are expected to attend and participate in faculty meetings, Faculty Advisory Committee meetings, student recruitment, welcoming, and retention activities, and other college events (e.g., convocation, commencement, and the annual white coat ceremony).

## **C. Research Faculty**

Research faculty members are expected to contribute to the university's mission via research. A research faculty member may participate in limited educational activities in the area of his or her expertise; however, teaching opportunities must be approved by a majority vote of the tenure-track faculty. Under no circumstances may a member of the research faculty be continuously engaged over an extended period of time in the same instructional activities as tenure-track or clinical faculty.

University Rule 3335-7-32 stipulates that research faculty cannot exceed 20% of the number of tenure-track faculty, unless otherwise authorized by a majority vote of the tenure-track faculty. A 30% limit was authorized previously by a vote of College of Optometry tenure-track faculty (Faculty Advisory Committee Minutes, 6/30/2004). Clinical faculty do not affect this ratio. Any transfer between tracks must keep the college in compliance with this ratio.

A research faculty member may, but cannot be required to, participate in limited teaching; however, teaching assignments for each research faculty member must be approved by a majority vote of the tenure-track faculty. Under no

circumstances may a member of the research faculty be continuously engaged over an extended period in the same instructional activities as tenure-track faculty.

Research faculty members are able to supervise graduate students. They can routinely serve as category M faculty after appropriate application procedures. Research faculty may apply for category P status, subject to the approval of the College's Research and Graduate Studies Committee and the Graduate School.

Research expectations are similar to those for the tenure-track, albeit proportionally greater because 100% of effort for faculty members on the research is devoted to research.

#### **D. Associated Faculty**

Compensated associated faculty members are expected to contribute to the university's mission via teaching or research depending on the terms of their individual appointments. The standard teaching assignment for associated clinical faculty with a  $\geq 60\%$  FTE appointment is clinical attending assignment equivalent to their FTE less 10% FTE administrative time.

The standard teaching assignment for full-time lecturers is eight three-credit courses per semester or term.

#### **X. COURSE OFFERINGS AND TEACHING SCHEDULE**

The schedule of course offerings for the College of Optometry is developed through consensus by the Curriculum Committee, the College Secretary, and the Executive Committee. The teaching schedule is developed by the Executive Committee in consultation with the Curriculum Committee, the College Secretary, the Research and Graduate Studies Committee, and individual faculty members.

#### **XI. ALLOCATION OF COLLEGE RESOURCES**

College funds and space resources are allocated by the dean according to individual and programmatic needs. Assuming financial resources are available, it is the policy of the college to provide career development funds annually to tenure-track, clinical, and research faculty members and to associated faculty members  $\geq 60\%$  FTE after one year of service. Special requests to fund travel, equipment, or other academic/research pursuits are considered on an individual basis by petitioning the dean. Space is allocated on the merit of the justification of the request, its impact on the total college space pool, and in accordance with the general strategic plan of the college.

#### **XII. LEAVES AND ABSENCES**

Absences from duty (sick leave, vacation, conduct of university business, etc.) are coordinated in accordance with university guidelines. Absence of any member of the teaching staff from ordinary service in the university, for any cause other than sickness, must be with the knowledge and approval of the dean of the college and, if

for longer than ten consecutive business days, with the approval of the executive vice president and provost. Sick leave is granted on approval of the dean when notification is given as soon as possible, preferably on or before the first day of absence. Leave for tenure-track, clinical, and research faculty is granted by the dean; the associate dean of academic affairs reviews leave requests from associated faculty.

Professional leaves of absence may be granted by the College in accordance with university procedures outlined in the Faculty Handbook (<https://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>).

### **A. Discretionary Absences**

Faculty are expected to complete a travel request or submit an application for leave form well in advance of a planned absence (e.g., 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 dean retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. (This authority extends to the associate dean of academic affairs for associated faculty.) Such an occurrence is most likely when the number of absences in a particular semester or term is substantial. *Rules of the University Faculty* require that the Office of Academic Affairs approve any discretionary absence longer than 10 consecutive business days (Faculty Rule 3335-5-08, <http://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>) and must be requested at <https://eleave.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 as early as possible. When such absences are unexpected, the faculty member, or someone representing the faculty member, should let the dean (associate dean of academic affairs for associated faculty) know promptly so that instructional and other commitments can be covered. 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, [www.hr.osu.edu/policy/index.aspx](http://www.hr.osu.edu/policy/index.aspx).

### **C. Unpaid Leaves of Absence**

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR Policy 6.45, <http://hr.osu.edu/public/documents/policy/policy645.pdf>.

### **D. Faculty Professional Leave**

Information on faculty professional leaves is presented in the OAA Policy on Faculty Professional Leaves

(<https://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>).  
The information provided below supplements these policies.

The Executive Committee will review all requests for faculty professional leave and make a recommendation to the dean based on the following criteria:

- Overall quality and impact of the planning activities;
- Assessment of the planned activities for relevance to the faculty member's future goals;
- Relevance of the planned activity to the faculty member's continuing to contribute to the college's mission and goals; and
- The ability of the college to accommodate the leave at the time requested.

### **XIII. FINANCIAL CONFLICT OF INTEREST AND PAID EXTERNAL CONSULTING**

Tenure-track and clinical faculty members, including administrators with faculty appointments, are encouraged to engage in paid external consulting to the extent that these activities are clearly related to the mission of the College and/or the University and the expertise of the faculty member, provide direct or indirect benefits to the College and/or the University, and do not entail a conflict of interest as defined in the University's *Conflict of Interest Policy* (<http://hr.osu.edu/public/documents/policy/policy130.pdf>).

As a general rule, the proportion of a faculty member's professional effort devoted to consulting should not exceed one business day per week. Prior approval must be obtained as outlined in the procedures in the University Policy on Paid External Consulting (<https://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>). Consulting does not alter expectations for faculty in terms of teaching, research, and service obligations. Faculty members should avoid any conflict or appearance of conflict between consulting and university responsibilities. In particular, the disruption of formal instructional activities because of consulting must be avoided. Consulting during off-duty semesters or terms is not subject to time limitations.

### **XIV. GRIEVANCE PROCEDURES**

The College's mechanisms for reviewing grievances are as follows:

#### Salary Appeals

Procedures outlined in Section XII of the Office of Academic Affairs Handbook will be followed.

#### Faculty Misconduct

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04, <http://trustees.osu.edu>.

#### Faculty Promotion and Tenure Appeals

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05, <http://trustees.osu.edu>.

### Sexual Harassment

The university's policy and procedures related to sexual harassment are set forth in OHR Policy 1.15, [www.hr.osu.edu/policy/index.aspx](http://www.hr.osu.edu/policy/index.aspx).

### Student Grade Grievances

Procedures outline in Faculty Rule 3335-7-23 will be followed.

### Student Misconduct

Academic misconduct: Procedures outlined in the College's Student Honor Code (<http://optometry.osu.edu/pdf/HonorCode.pdf>) and in the University Code of Student Conduct (<http://studentlife.osu.edu/csc/>) will be followed.

### Disciplinary Misconduct

Procedures outlined in Faculty Rules 3335-11-01 to 3335-11-022 will be followed.\

### Faculty Misconduct

Any student, faculty, or staff member may report complaints against regular, regular clinical and auxiliary faculty members to the Dean (or to the Provost in complaints against the Dean). Procedures outlined in Faculty Rule 3335-5-04 will be followed.

### Staff Misconduct

Any student, faculty, or staff member may report complaints against staff to the Dean. Procedures outlined in The Ohio State University Human Resources Policies 8.15 and 8.20 (<http://hr.osu.edu/policy/policy815.pdf> and <http://hr.osu.edu/policy/policy820.pdf>) will be followed.

In addition, students, faculty, or staff may contact The Ohio State University Anonymous Reporting Line at (866) 294-9350 to report financial misconduct, health care fraud, discrimination or harassment due to a protected status, retaliation due to a complaint of discrimination or harassment, for participating in an investigation, misuse of benefits, nepotism, sexual harassment, violence, or research non-compliance or misconduct.