

Augusta University

Policy Library

Outside Professional Activities

Policy Owner: University HR Services

POLICY STATEMENT

Outside professional activity by faculty or administrators is to be encouraged under appropriate circumstances. However, since faculty and administrative personnel have committed their primary professional effort to the university, the university has the responsibility to limit and regulate such activity. With certain exceptions, faculty members are required to obtain the permission of the university prior to engaging in outside professional activity and to make periodic summary reports on such activity. This policy defines the types of outside professional activities allowed and outlines the procedures for obtaining permission from the university and for reporting such activities to the university.

Overview

Policies concerning Outside Professional Activity, as defined herein, are based on certain premises:

1. Faculty members should be encouraged to engage in activities beyond their regular university duties when such activities contribute to individual growth, extend knowledge, or advance the mission of the university.
2. Under appropriate limitations, it is acceptable for faculty members to receive extra compensation for work that is definitely beyond and does not interfere with their university duties.
3. There is need to protect the interests of the university by ensuring that the faculty do not have outside demands and commitments that would retard their academic development and discharge of university responsibilities.
4. It is important to ensure that university facilities are not used in ways that would deplete its resources and interfere with its programs of education, scholarly activity, and health care.
5. Inasmuch as individuals accepting a faculty appointment have thereby committed a full professional effort to the university, the university has a right and an obligation to require advance approval and subsequent reporting on additional activities of faculty members that may interfere with the discharge of university duties or present other conflicts of interest with the university.

Office of Compliance and Enterprise Risk Management Use Only

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This policy defines and specifies the many types of outside professional activities in which AU faculty and administrators may be engaged. It also specifies activities that are not covered by this policy.

All faculty engaging in outside professional activities must obtain prior permission from their department Chairs or Deans as outlined herein. At the end of each contractual year, faculty and administrators engaging in outside professional activities must report such activity as described herein.

REASON FOR POLICY

Augusta University affirms the fact that the members of its faculty are professionals with certain obligations and privileges inherent in that status. Professionals are obliged to continuously broaden their capabilities, to share their knowledge with their peers and to make their knowledge and skills available to the public under appropriate circumstances. Although professionals who accept full-time faculty appointment thereby commit themselves to extending their principal professional effort through the university, limited service to or association with organizations and persons external to the institution may contribute to the growth of faculty competence and the purposes of the university. Like other professionals, faculty members expend their principal productive effort on their professional work, which occupies time well beyond the norm for non-professional employment but may be flexible in schedule and not limited to particular hours of the day or week.

AFFECTED STAKEHOLDERS

Indicate all entities and persons within the Enterprise that are affected by this policy:

- Alumni Faculty Graduate Students Health Professional Students
- Staff Undergraduate Students Vendors/Contractors
- Visitors
- Other: Include any other stakeholders not listed above.

DEFINITIONS

These definitions apply to these terms as they are used in this policy:

Continuing education - For purposes of this document, “continuing education” means (a) sponsored short courses, seminars, or workshops directed toward specific professional groups or target populations; (b) non-credit short courses advertised and open to the general public; and (c) enduring materials that are printed, recorded, or computer-assisted. These materials may be used over time at various locations and constitute a planned activity of continuing education. Examples of such materials include programmed text, audiotapes, videotapes, and computer-assisted materials that are to be used alone or in combination with written materials for independent learning by health-care professionals. Not included are “reference materials” such as books and journals.

Grants and contracts - Specific sponsored-project arrangements with (a) federal and international agencies; (b) state agencies; (c) nonprofit foundations and agencies; or (d) business and industry.

Other outside employment - Any employment of a faculty member for compensation by persons or organizations external to the university, including self-employment, in fields of endeavor unrelated to the individual's university duties; it includes all non-university employment not covered by outside professional activity as defined below.

Outside professional activity - Outside professional activity is understood to mean any service rendered by a faculty member with or without compensation to persons or organizations external to the university, without university sponsorship, for the purpose of advancing, applying, or transferring knowledge in a field of endeavor related to the faculty member's employment at the university. Such activity is beyond or in addition to the faculty member's university responsibilities; it generally occurs off-campus and requires only the time and special capabilities of the individual, without significant use of university facilities or supporting services.

PROCESS & PROCEDURES

Section 1. Types of Outside Professional Activity

A. Professional Leadership Activities

The university encourages its faculty members to achieve positions of leadership in their respective professions. Attainment of such status often involves activities such as presenting papers at professional meetings, giving occasional lectures at other institutions, service in offices or on committees of academic or professional societies or professionally related civic and non-profit organizations, participating in accreditation visits to other institutions, and service on governmental advisory committees or study sections. Such activities generally are of an occasional or short-term nature, and are either without compensation or bring only a nominal financial return to the individual. When professional leadership responsibilities have these characteristics, they may be accepted **without** prior clearance from the Dean or specific limitation by the university, and the faculty member has an obligation to see that they do not interfere with teaching assignments, research productivity, or other departmental, college and university duties. Occasionally, faculty members are asked to accept professional responsibilities that require substantial recurring or long-term time commitments, such as may be involved in holding national-level office in an academic society or editing a professional journal. Consultation with the appropriate Department Chair or Dean should precede acceptance of such responsibilities. The number of professional leadership activity days must be limited to twenty (20) per year for full-time faculty on a twelve month contract, and to fifteen (15) per year for full-time faculty on a nine month contract, unless a faculty member has obtained written approval to exceed that limit from his or her Chair, Dean, or other direct supervisor as appropriate. The university will attempt to facilitate faculty performance of professional leadership roles when such activities are of a significant nature and reflect credit on the university, but all parties involved have a responsibility to ensure that such activities are compatible with university responsibilities and entail no undue drain on university resources. With the exception noted, professional leadership activities as defined above may be undertaken without prior permission of the university. In all cases, however, such activities must be reported by the faculty member at the end of the year, in accordance with this policy.

B. Outside Consulting

Faculty members often have opportunities to serve as consultants or part-time employees to make their professional knowledge and skills available to individuals and organizations outside the university, including government agencies, other academic institutions, non-profit organizations, and business enterprises. Such activities may be either on a short-term or recurring basis and generally involve compensation to the individual. This includes engagement as an expert witness in legal matters. Such outside consulting is permissible and under appropriate circumstances may be encouraged as contributing to professional growth and the purposes of the university, but these activities must be carefully scrutinized and limited to ensure that they do not interfere with the faculty member's university responsibilities or create impermissible conflicts of interest. Outside consulting as described above may be entered into only with prior permission of the university, within specified time limits approved by the Chairman in consultation with the Dean, and with an obligation to report all such activities to the university at the end of the contractual appointment year.

C. Teaching at Other Academic Institutions

Teaching or research at other academic institutions may be appropriate under some circumstances but is generally discouraged except for occasional lectures in the faculty member's area of specialization. Recurring responsibilities in another academic institution, such as teaching a course or supervising a research program, may be accepted only with prior permission of the Dean, which usually will not be given without communication between the faculty member's Department Chairman or Dean and a counterpart at the other institution to assure that both institutions understand and approve the arrangement. The Dean shall keep the President informed of such arrangements. Arrangements with other units of the University System of Georgia are governed by the Policy Manual of the Board of Regents, Section 8.3.15.2.

D. Scholarly or Creative Writing and Other Individual Creative Endeavors

Such activity is part of the regular university responsibilities of many faculty members, and additional activity beyond normal expectations is generally encouraged as contributing to professional growth and the purposes of the university. If such activity is undertaken in anticipation of uncertain future compensation (such as a royalty interest in a book or possible eventual sale of an artistic work), there is no requirement for advance permission, but the requirement for subsequent reporting applies. If the activity is undertaken for direct compensation or immediate sale of a product or for an advance in anticipation of royalties, the requirements for prior permission and subsequent reporting apply.

E. Outside Professional Practice

The provisions in this section do not apply to the clinical practice of medicine, dentistry, nursing, and the allied health sciences, which is regulated as described in Section 3 of this policy.

Under some circumstances, faculty members engage in independent professional practice, accepting patients or clients without university sponsorship and generally off campus. Such activity, whether undertaken for fees or on a *pro bono* basis, must be carefully limited and regulated to avoid conflict with university obligations and may be prohibited altogether by the policies of some departments or colleges. When it is allowable, the requirements of advance permission and subsequent reporting apply. If the relevant canons of professional practice preclude identification of individual clients, that information need not be disclosed, but the faculty member is required to describe at the beginning of the contractual year the nature and circumstances of the practice and the amount of time to be committed to the practice, and to report at the end of the year the actual time spent.

F. Continuing Education

Continuing education is an integral part of the mission of the university, and faculty are encouraged to participate in such activity. Faculty participation in continuing education activities sponsored by other institutions, as defined above, is considered outside professional activity.

1. Seminars, Workshops, Institutes, Courses, and Lectures Directed Toward Professional Groups, Specific Target Populations, and the General Public.

Although a number of activities of this type are annual or regularly scheduled events, the content of the programs will vary in keeping with the interests and needs of participants as well as advancements in the field. Such activities frequently involve several faculty for brief periods of time. These activities are usually initiated by the faculty at the department or college level or by the Division of Continuing Education and are processed through the Chairs or Dean(s) of the various colleges (as appropriate) within the university. The Division of Continuing Education reserves the final decision as to whether any course will be offered.

Guidelines for the payment of faculty engaging in continuing education activities have been developed in accordance with The Policy Manual of the Board of Regents, Section 8.3.12.4. Simply said, "When extra compensation is paid, it shall be in line with compensation paid for performance of the employee's normal duties." In addition, these guidelines take into account customary and usual travel expenses in keeping with State policy. These guidelines are administered by the Division of Continuing Education, and the results of that administration are reported quarterly to the Deans of the colleges, the Provost, and the Board of Regents of the University System of Georgia.

2. Enduring Materials

Printed, recorded, or computer-assisted instructional materials that may be used over time at various locations and that in themselves constitute a planned activity of continuing education are considered to be enduring materials. These materials must be based upon identified continuing education needs of a given target group of health-care professionals. The faculty (author) must develop explicit objectives for each enduring material and communicate these objectives to prospective participants. Evaluation methods should be apparent.

Compensation to faculty is in keeping with the copyright guidelines of Augusta University and the Board of Regents of the University System of Georgia. These guidelines are administered through the Division of Continuing Education working with the Intellectual Property Committee of Augusta University. The results of this administration are reported to the Deans of the colleges, the Executive Vice President for Academic Affairs & Provost, and the Board of Regents of the University System of Georgia.

3. *Extent of Faculty Participation*

The faculty and administration of each college (working together within the existing administrative structures) will establish a procedure for monitoring faculty involvement in continuing education. Basic faculty participation data for university-sponsored courses will be available from the Division of Continuing Education for monitoring purposes.

Section 2. Procedures

The following procedures apply to outside professional activity as described above, with exceptions noted therein.

1. In their professional engagement beyond their normal university duties, faculty members have a responsibility to choose activities that contribute to their professional growth and the spread of knowledge and that support the broad purposes of the university.
2. When engaging in outside professional activity or other outside employment or involvements, faculty members have a responsibility to limit such activities so that they do not conflict with their primary obligations as faculty members or with the goals and needs of the university.
3. During the period of contractual obligation to the university, and with the exceptions noted in Sections IA and IE above, faculty members are required to submit written requests for permission in advance of participating in outside professional activity. This is done by submitting Form OA-1 through the Department Chair to the Dean of the college. Forms may be obtained at the office of the appropriate dean or chair or via the URL at the end of this document.
4. Arrangements for all recurring consultation and research must be approved in writing by the Department Chair and the Dean or by the appropriate administrative officer, using the appropriate form, before the work is undertaken. Faculty holding administrative rank such as Chair, Dean, or Vice President must obtain written permission from their immediate supervisor before such employment can be accepted. This approval must be renewed annually if the activity is going to be continued during the subsequent calendar year.
5. If permission for a faculty member to engage in outside professional activity is denied, the Department Chair must inform the faculty member, giving specific reasons for the denial. Copies of the request and the denial will be forwarded to Executive Vice President for Academic Affairs & Provost.
6. Outside professional activity for which extra compensation is received shall not exceed a maximum time commitment as established by the appropriate Chair and Dean.
7. At the end of the contractual year (June 1 for academic-year faculty, June 30 for 12-month faculty), faculty members who have engaged in outside professional activity must report such activity using Form OA-2.

Section 3. Clinical Practice of Medicine, Dentistry, Allied Health Sciences and Nursing

All clinical practice of medicine and dentistry by faculty members must be conducted under the approved faculty practice plans of the Medical College of Georgia, The Dental College of Georgia, and the Colleges of Allied Health Sciences and Nursing. The amount of effort devoted to these activities is subject to approval by the Department Chair and Dean.

Section 4. Other Outside Employment

Other outside employment is defined as any employment of a faculty member for compensation by persons or organizations external to the university, including self-employment, in fields of endeavor unrelated to the individual’s university duties; it includes all non-university employment not covered in Section I of this policy. Any such activity must occur only in time that is clearly off-duty from the university and must be carefully limited so that it is compatible with the individual’s professional status, creates no conflict of interest with the university, does not conflict with scheduled university duties, and does not in any way infringe on the full-time professional effort committed to the university.

Section 5. Grants, Contracts and Consultations Using University Facilities, Services, or Personnel

The university realizes its obligations toward the advancement of the state of knowledge and toward the improvement of the health of the general population and therefore makes its facilities and personnel available when these studies will promote the quality of programs of research, education, and patient care that will bring recognition to the individual faculty members, the department, the college, and the university. Grants and contracts (as defined above) and consultations requiring the services of university faculty and staff and the use of university facilities or services must be administered in accordance with (a) the current procedures regarding grants and contracts and (b) the current regulations of the funding source. Copies of these are available from the Division of Sponsored Program Administration.

Generally, all of these awards that are for support of research are made to the Augusta University Research Institute and subcontracted to the university and other awards for non-research sponsored activities of the faculty member are made directly to the university. All funds will be deposited with and disbursed from the Controller’s Office. Any salary and accompanying fringe benefits to be paid from such awards included in the grant or contract budget must be paid as part of the annual compensation through routine university procedures. This becomes a part of the total annual compensation.

1. Occasionally a faculty member or a group of faculty members working together will be requested by an outside organization to provide consultation services or to perform scientific or clinical studies in university facilities or using university services or personnel.
 - A. Such consultation services or scientific or clinical studies may be performed if at least one of the following criteria is met to the satisfaction of the appropriate Department Chair and is approved in writing by the appropriate Dean(s) or Director(s):

- i. The project has merit either to advance science or to improve the quality of life;
 - ii. The project will improve the scientific or professional qualifications of the faculty members; or
 - a. The project enhances ongoing programs of faculty members, making these programs more complete and comprehensive.
2. Any costs to the university or its affiliated entities originating from any outside activities must have the prior written approval of the AU Chief Financial Officer and the appropriate official at the affected organization. Reference to the university, including names of faculty members, for commercial advertising purposes is prohibited; reference may be made to the research publications reporting the work.
3. The policies in this document apply to activities of full-time faculty members during their period of contractual obligation to the university, which is defined as August 1-June 1 for faculty on academic-year appointments and July 1-June 30 for faculty on 12-month appointments. Part-time faculty members have an obligation to deliver the full amount of time or effort committed by the terms of their appointment and to assure that their other activities and employment do not infringe on their university obligations or create conflicts of interest with the university, but they are exempt from the specific limitations and procedures stated in this policy.
4. Department Chairs have a responsibility to remain informed of the professional and outside employment activities of faculty members, to encourage such activities when they are consistent with the policies in this document, and to advise faculty members of other involvement in activities that might jeopardize the development and promotion of the individual, interfere with the individual's primary responsibilities, or hinder the achievement of excellence in academic or research programs.
5. Department Chairs will report clear violations of these policies to the appropriate dean, who has a responsibility to discuss the situation with the faculty member's chair and the faculty member concerned and to initiate appropriate action.

Section 6. Amendments to this Policy

Amendments to this policy will be reviewed by University Faculty Senate (formerly known as Academic Council). The above policies may be supplemented by procedures subsequently developed by the university or by the separate colleges to serve their own needs in keeping with the intent of this policy and subject to review by the President of the university.

REFERENCES & SUPPORTING DOCUMENTS

OA-1 - Request for Approval of Outside Professional Activity and Continuing Education, **(Attached)**

OA-2 - Annual Report on Outside Professional Activity and Continuing Education, **(Attached)**

RELATED POLICIES

Policy Manual of Board of Regents Section 8.3.15 Outside activities: http://www.usg.edu/policymanual/section8/C224/#p8.2.15_outside_activities T

APPROVED BY:

President, Augusta University and CEO, AU Health System Date: 06/13/2017