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I INTRODUCTION

This document provides a description of the policies and procedures by which the Max M. Fisher College of Business operates. This document supplements the Rules of the University Faculty and other policies and procedures of the university to which the college and its faculty are subject. University rules, policies, and procedures, including revisions to them, take precedence over statements in this document.

This Pattern of Administration is subject to continuing revision. As per university policy, it is reviewed and either revised or reaffirmed on appointment or reappointment of the college dean. 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.

In its most recent review and revision this document received the support of Fisher College's Executive Committee on March 2, 2010 and was endorsed by college faculty vote on March 12, 2010.

II COLLEGE VISION

The Fisher College of Business achieves recognized excellence in programs of teaching, research, and service. The college is an international leader in education through the delivery of creative and innovative programs that produce highly valued professionals for the worldwide business community.

We are an international leader in research through the pursuit of cutting-edge inquiry impacting theory and practice. Our educational and research programs provide innovative and valued service to the university, the state of Ohio, and the world by enhancing the effectiveness of business.

We create a learning atmosphere that allows students, faculty, and staff to exceed their own performance expectations and thereby provide a substantial differential value in all that we do. We strive to be seen as “best in class” among top-ranked business schools in terms of our ability to respond to the professional and career needs of students and the extent to which we customize and individualize the learning experiences for students at undergraduate, graduate, and executive education levels.

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, www.ana.osu.edu/acad_rts_respons.php.
IV FACULTY

Faculty Rule 3335-5-19, www.trustees.osu.edu/Chapindex/index.php, 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 as defined by university rule, the faculty of Fisher comprises all regular faculty members (tenured, tenure track, and clinical) with compensated FTEs of at least 50% in the college.

In addition to its regular tenure track (RTT) faculty, Fisher has a regular clinical track (RCT). Regular clinical track faculty titles are assistant clinical professor, associate clinical professor, and clinical professor; these titles are followed by the name of the specific academic department with which the clinical faculty member is affiliated. Consistent with current university regulation, regular clinical track faculty in each academic department within Fisher can comprise no more than 20% of the total regular tenure track faculty in that academic department. Regular clinical track faculty members vote in all matters of college and department governance except tenure track promotion and tenure decisions.

Auxiliary faculty members, emeriti faculty members, and regular faculty joint appointee members with FTEs below 50% in the college are invited to participate in discussions on non-personnel matters but, as set forth in university rules, may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter.

Detailed information about appointment criteria and procedures for the various types of faculty appointments made in Fisher can be found in the college Appointments, Promotion and Tenure Review document. See Faculty Rule 3335-6-02.

V ORGANIZATION OF THE COLLEGE

As currently constituted, the college has five academic departments: The Department of Accounting and Management Information Systems, the Department of Finance, the Department of Management and Human Resources, the Department of Management Sciences, and the Department of Marketing and Logistics. The research, teaching, and service missions of the college, its academic departments and its associated faculty are facilitated by a variety of support units (e.g. Graduate Programs Office, Office of External Relations) and research and outreach centers (e.g. Center for Operational Excellence, Center for Entrepreneurship).

VI OVERVIEW OF COLLEGE ADMINISTRATION AND DECISION-MAKING

College policy and program decisions are made in a number of ways: by the college faculty as a whole, by committees, or by the dean. The college leadership strives to be transparent in its decisions and in its deliberations. The Executive Committee of the college handles much of the day-to-day business of running the college. Minutes of these meetings are widely shared across the college. Major changes in academic program structure and in policies of college governance are taken to the full faculty for endorsement.
VII COLLEGE ADMINISTRATION

A Dean

The college is administered by its dean with authority and responsibilities outlined in Faculty Rule 3335-3-29. Pursuant to university rules, the dean appoints associate deans and other administrative officers as needed to carry out the mission and programs of the college. The dean is responsible for the fiscal and academic health of the college and for assuring that resources are allocated in a manner that contributes to the achievement of college and university goals. While day-to-day responsibility for specific matters may be delegated to others, the dean retains final responsibility and authority for all matters covered by this Pattern, subject when relevant to the approval of the Office of Academic Affairs and the Board of Trustees.

B Associate Deans

The dean has authority to appoint associate deans as he/she determines appropriate and necessary to the efficient functioning of the college and its programs and as needed to move the college forward in the fulfillment of its mission. Associate deans serve at the pleasure of the dean.

C Department Chairs

The primary responsibilities of department chairs are set forth in Faculty Rule 3335-3-35, www.trustees.osu.edu/ChapIndex/index.php. Department chairs have general administrative responsibility for the business of the department and for department initiatives, subject to the approval of the dean of the college. The department chair works with department faculty to: encourage research and educational investigations; promote improvement of instruction; evaluate faculty member performance in accordance with both university and college established criteria; make recommendations on appointments, promotions, tenure, and dismissals to the dean of the college; and lead in maintaining a high level of morale.

D Committees

Committees play important roles in the development, implementation and management of the college's policies and programs. The existence, purposes, and responsibilities of committees in the college are established by university rule or by the dean, often in consultation with the college Executive Committee. In general, committee members serve for an annual term beginning with the start of autumn quarter. Two notable exceptions are the members of the College Personnel Committee and the college Executive Committee. In these two cases the annual term begins July 1 with the beginning of the fiscal year.
Faculty Governance Committees

1. College Executive Committee (EC)
   a. Purpose

   The Executive Committee advises the dean on matters such as priorities, policies, plans, and concerns of faculty and staff. The committee works with the dean to transact the business of the college as provided by rules and established precedents. The Executive Committee brings to the college faculty any matter that, in its opinion, needs consideration or action as well as those matters requiring faculty attention as set forth in college or university rules.

   b. Composition

   The Executive Committee consists of the dean, who acts as chair, and, at a minimum, the chairperson of each academic department, the associate deans of the college, two elected faculty representatives, and one staff member selected by the college staff.

   c. Appointment

   Appointment to the positions set forth above constitutes appointment to the Executive Committee except for elected faculty representatives and staff member.

   d. Executive Committee Faculty Representatives

   i. Terms of Office. Except in cases of fulfilling unexpired terms noted below, the two elected faculty representatives are elected in alternate years to serve a two-year term. In the event of a resignation of the elected faculty representative, a replacement election will be held to complete the remainder of the term. If the term remaining is less than three months, the dean, in consultation with the remaining elected faculty representative, chooses a replacement.

   ii. Duties. The elected representatives operate in the interest of the college and its faculty in discharging their duties. The elected representatives facilitate communication between the faculty and the Executive Committee by: holding meetings as needed to provide opportunity for the faculty to discuss relevant issues; informing the faculty of important issues; providing feedback to the faculty when requested; and providing a conduit by which issues, opinions, and comments of the faculty can be brought to the Executive Committee.

   iii. Eligibility, Nomination and Election

   Executive Committee elected faculty representatives are full-time, tenured, faculty members.
The nomination and election process occurs annually following completion of the CPC election. All tenured, tenure-track and regular clinical faculty members with 50% or greater appointments are eligible to vote.

Any full-time, tenure-track faculty member may nominate an eligible individual (including self nominations). In the nomination ballot each eligible voter exercises one vote. A minimum of a simple majority of eligible faculty members must participate in the nomination process for its results to be considered official.

The top four from the nomination ballot enter the EC faculty representative election ballot. Each eligible voter exercises one vote in the election. A minimum of a simple majority of the eligible faculty must participate in the balloting process for its results to be declared official.

iv. An elected faculty representative may resign from that position if his/her written resignation to the dean is accepted by the dean. If the remaining term is less than three months, the dean appoints a replacement consistent with the eligibility requirements above. If the remaining term is more than three months, a replacement election will be conducted in accordance with the procedures outlined above.

2. Faculty Appeals and Investigations Committee

a. Purpose

University Rule 3335-5-04 requires that each college create a standing College Investigation Committee with the mandate to investigate complaints involving individual faculty members. This committee serves that role and is also charged with review of individual salary appeals cases referred to it by the dean’s office. Reviews are conducted in the context of assessing whether relevant university and college guidelines have been equitably and appropriately applied.

b. Composition and Appointment

The two faculty representatives elected to the Executive Committee and the chair of the CPC serve on the committee. The fourth member is appointed by the dean.
College Academic Program and Graduate Studies Committees

3. MBA Programs Committee

a. Purpose

The MBA Programs Committee is responsible for establishing and managing the curriculum and educational policies for each track of the MBA degree. This includes overseeing the composition of the core and elective curricula of the MBA tracks and the development of new tracks as appropriate. In curricular matters, the committee reviews and approves new courses, course change requests, and course withdrawals within the MBA envelope. Once handled by the committee, proposals and requests move to the dean or his/her designee, to the Graduate School, or to other bodies such as the Council on Academic Affairs as set forth in university policy.

The committee works with the dean’s office and the program’s academic and administrative leadership as needed on a variety of issues including academic standards and appropriate academic progress for enrolled students, and the general parameters around standards for admissions, scholarships and financial aid awards.

Given unique characteristics of EMBA programs and EMBA students a separate faculty committee manages the curriculum of the EMBA track and handles admission decisions to that track. The chair of this EMBA committee serves on the MBA Programs Committee. This faculty member regularly updates the MBA Programs Committee on issues pertaining to the EMBA track, relays MBA Programs Committee decisions and information impacting the EMBA track to the EMBA faculty group and where appropriate seeks advice from the MBA Programs Committee.

In as much as the OSU Graduate School considers the MBA degree and the Ph.D. in Business Administration degree to be under one graduate program (the Graduate Program in Business Administration), coordination is needed between the committee chairs of the two college committees (the MBA Programs Committee and the Ph.D. in Business Administration Committee). For organizational purposes the chair of the Ph.D. in Business Administration Committee is designated as the Graduate Program in Business Administration graduate studies committee chair on the records of the Graduate School. This faculty member is then expected to facilitate appropriate communications with regard to the MBA program to and from the chair of the MBA Programs Committee.
b. Composition

The committee consists of a voting chair (this being the associate dean for graduate programs or a faculty member designated by the dean) and selected faculty including at least one tenure-track or clinical faculty member from each academic department. The dean or his/her designee is an ex-officio, non-voting member of the committee.

c. Appointment

The dean appoints the committee chair and committee members with input from the associate deans and department chairs.

4. Specialized Master in Business (SMB) Program Committee

a. Purpose

The SMB Program Committee is responsible for establishing and managing the curriculum and educational policies for the SMB degree. This includes overseeing the composition of the core and elective curricula of the SMB program and the development of new tracks as appropriate. In curricular matters the committee reviews and approves new courses, course change requests, and course withdrawals within the SMB envelope. Once handled by the committee, proposals and requests move to the dean or his/her designee, to the Graduate School, or to other bodies such as the Council on Academic Affairs as set forth in university policy.

The committee works with the dean’s office and the program’s academic and administrative leadership as needed on a variety of issues including academic standards and appropriate academic progress for enrolled students, and the general parameters around standards for admissions, scholarships and financial aid awards. The committee serves as the graduate studies committee for the SMB program in the college.

b. Composition

The committee consists of a voting chair (this being the associate dean for graduate programs or a faculty member designated by the dean) and not less than three voting faculty members. The faculty members are chosen from those academic departments having tracks or specializations within the SMB degree program. The dean or his/her designee is an ex-officio, non-voting member of the committee.

c. The dean appoints the committee chair and committee members with input from the associate deans and department chairs.
5. Ph.D. in Business Administration Committee

a. Purpose

The Ph.D. in Business Administration Committee is responsible for establishing and managing the curriculum and educational policies for the doctoral program in business administration (Ph.D. in Business Administration). While much of the curricular design responsibility for the various specializations within the program rests with the graduate faculty of the individual academic departments of the college, the committee serves a coordinating role and interfaces with the Graduate School on behalf of the college faculty with regard to this Ph.D. program. The committee and its chair seek, where appropriate, to coordinate activities across the college’s three Ph.D. programs and to address issues impacting all Ph.D. programs in the college. In situations where the committee’s agenda involves such coordination issues, the chairpersons of the AMIS and LHR graduate studies committees are invited to the meeting of the committee.

As stated earlier (see description of MBA Programs Committee) in as much as the OSU Graduate School considers the Ph.D. in Business Administration degree and the MBA degree to be under one graduate program (the Graduate Program in Business Administration), coordination is needed between the committee chairs of the two college committees (the MBA Programs Committee and the Ph.D. in Business Administration Committee). For organizational purposes the chair of the Ph.D. in Business Administration Committee is designated as the graduate studies committee chair on the records of the Graduate School. This faculty member is then expected to facilitate appropriate communications with regard to the MBA program to and from the chair of the MBA Programs Committee.

2. Composition

The committee consists of a voting chair and not less than four additional voting members, all of whom are members of the graduate faculty, and includes at least one faculty member from each academic department in the college having students in the Ph.D. in Business Administration program. The dean or his/her designee is an ex-officio, non-voting member of the committee.

c. Appointment

The dean appoints the committee chair with input from the associate deans and department chairs. The committee members are the Ph.D. coordinators of the various academic departments in the college having students in this program.
6. Undergraduate Programs Committee

a. Purpose

The Undergraduate Programs Committee is responsible for establishing and managing the curriculum and educational policies for the Bachelor of Science in Business Administration (BSBA) program as well as minors and other academic programming in the college serving undergraduate students. This includes overseeing the composition of the core and elective curricula of the BSBA program and the development of the program and curriculum over time. In curricular matters, the committee reviews and approves new courses, course change requests, and course withdrawals within the undergraduate program envelope. Once handled by the committee, proposals and requests move to the dean or his/her designee, to the Executive Committee, or to other bodies such as the Council on Academic Affairs as set forth in college and university policy and practice.

The committee works with the dean's office and the program's academic and administrative leadership as needed on a variety of issues including academic standards and appropriate academic progress for enrolled students and the general parameters around standards for admissions, scholarships and financial aid awards.

b. Composition

The committee is chaired by the associate dean for undergraduate programs and comprises selected faculty including at least one faculty member from each academic department of the college and five members of the Undergraduate Student Forum. Appointments are determined so that there is one student representative for each of the five academic departments. Each student member must have a major within the department that he/she represents. Undergraduate representatives on the committee do not have voting rights. The dean or his/her designee serves as an ex-officio, non-voting member of the committee.

c. Appointment

The dean appoints the committee members, with input from the committee chair and department chairs.

7. Department Centric Academic Program and Graduate Studies Committees

Several additional graduate programs having curricula predominantly specific to a given discipline (in contrast to curricula drawn from across the full set of academic disciplines of the college) fall within the purview of Fisher College and its academic departments. These department centric academic programs include: the Masters in Accounting (MAce) program, the Ph.D. in Accounting and Management Information Systems program, the Masters in Business Logistics Engineering (MBLE) program,
the Masters in Labor and Human Resources (MLHR) program, the Ph.D. in Labor and Human Resources program, and the Masters in Business Operational Excellence (MBOE) program.

Descriptions of the graduate studies committees which manage these programs are found in the Pattern of Administration document of the academic department with which the program is most closely affiliated. These committees have direct responsibility for establishing and managing the curriculum and educational policies of their academic program, including the review and approval of new courses, course change requests, and course withdrawals within their program’s course envelope.

Any matters having resource allocation implications in terms of financial or faculty/staff resources move from this committee to the dean or his/her designee, that designee generally being the associate dean for graduate programs. To facilitate the sharing of best practices across all graduate programs of the college and to coordinate efforts on issues common to all graduate programs, the dean or his/her designee may assemble the chairpersons of all graduate studies committees in the college, on either a regular or ad hoc basis, to address such issues.

Advisory Committees

8. College Personnel Committee (CPC)

a. Purpose

Following the Appointment, Promotion, and Tenure Review Document, the College Personnel Committee reviews and makes recommendations to the dean on promotion and tenure (including that of senior hires). The CPC also makes recommendations on fourth-year reviews of probationary faculty members. The CPC regularly reviews the Appointment, Promotion, and Tenure Review Document to determine what changes should be recommended to the dean. Substantive changes endorsed by the Executive Committee are presented to the college faculty for formal consideration.

b. Composition

The College Personnel Committee consists of seven elected members of the college faculty. The members serve overlapping terms of two years, with no more than two faculty members from any department serving on the CPC simultaneously. Appointments vacated by a member because of resignation or other reasons are filled by election for the remaining term of the vacating member. Eligibility for election to membership is restricted to tenured full professors of the college faculty and excludes department chairs and associate deans.
c. Nomination and Election

Nomination and election of faculty members to the College Personnel Committee occurs annually in February. In these matters voting rights are limited to tenured and tenure-track faculty.

Nomination of candidates and their election is by "cumulative voting." Each eligible faculty member is entitled to one vote per position to be filled in the election. The faculty member may choose to cast each of these votes for separate candidates or all of these votes for one candidate or allocate the votes across candidates according to his/her choice. For the results of the nomination or election process to be declared official, at least a simple majority of the voting eligible faculty must cast votes.

9. College Research Committee

a. Purpose

The College Research Committee is responsible for facilitating research efforts in the college. The committee advises, recommends, and responds on matters pertaining to research, the research environment, and faculty engagement in research. The committee is also responsible for recommending awards such as college seed money grants, Pace Setter Research Awards and assisting the dean’s office in managing the faculty summer research support program. Additional responsibilities are assigned from time to time as needed.

b. Composition

The committee consists of a senior faculty member who serves as chair of the committee and at least one senior faculty member from each academic department in the college. The dean or his/her designee is an ex-officio, nonvoting member.

c. Appointment

The dean appoints the committee chair and its members, with input from the associate deans and department chairs.

10. Educational and Professional Diversity Committee

a. Purpose

The committee advises college leadership and faculty on college progress in promoting diversity in intellectual thought and inquiry and in the racial, ethnic and cultural diversity of the college. The committee monitors trends in these areas and actively works with the faculty and the college leadership toward attainment of the college’s diversity and inclusion goals.
b. Composition

The committee consists of a faculty member as committee chair, at least one member from each academic department, one unclassified staff member, one classified staff member, and up to three students drawn from a cross section of the college's academic programs. The dean or his/her designee is an ex-officio, nonvoting member.

c. Appointment

The dean appoints the committee chair and its members, with advice from the associate deans and department chairs.

11. Endowed Appointments Committee

a. Purpose

The Endowed Appointments Committee provides the dean with advice on the appointment and re-appointment of endowed chairs, named professorships and any other appointments or matters as requested by the dean, and in accordance to university and college policies.

b. Composition

The committee consists of at least five faculty members, each of whom holds a chair or named professorship in the college. One of these is designated chair of the committee. There is at least one faculty member from each academic department in the college. The dean or his/her designee is an ex-officio, nonvoting member.

c. Appointment

The dean appoints the committee chair and its members, with advice from the associate deans and department chairs.

12. Executive Education Committee

a. Purpose

The Executive Education Committee is responsible for advising the dean, the faculty, and the leadership of the Executive Education program on matters related to non-degree executive development and continuing education programs.

b. Composition

The committee consists of the associate dean for executive education who chairs the committee, the executive director of executive education and at least five faculty
members, one from each academic department in the college. The dean or his/her designee is an ex-officio, nonvoting member.

c. Appointment

The dean appoints the committee members, with advice from the committee chair and department chairs.

VIII FACULTY MEETINGS

A college faculty meeting is normally held in each academic term of the academic year. All regular and auxiliary faculty are invited to attend. Faculty meetings provide an opportunity to transact the business of the college and to plan for the future. The meeting gives the dean an opportunity to provide updates on current issues, report on progress with college initiatives, answer questions, seek input, and discuss matters of concern. The meeting provides the faculty with the opportunity to exercise its responsibilities under shared governance.

Additional meetings of the faculty may be scheduled by the dean as needed. A meeting of the college faculty will also be scheduled on receipt of a written, signed request of 25% of the regular faculty.

An agenda is normally delivered to faculty before a scheduled meeting. Reasonable efforts are made to call for agenda items before the meeting. Agendas and materials for college faculty meetings that include important proposals for approval or formal vote are normally sent in advance of meetings to facilitate faculty preparation for discussions. The dean’s office normally distributes minutes of faculty meetings to faculty by e-mail—within seven days following the meeting if possible.

For purposes of making decisions on voting items, a quorum is defined as a simple majority of all faculty members eligible to vote. A majority of those voting is required for approval. 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. Electronic balloting following a faculty meeting is permissible when the dean determines that the matter warrants maximum participation in voting.

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 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 achieve these goals.

IX COLLEGE POLICY ON FACULTY DUTIES AND RESPONSIBILITIES

The university’s policy with respect to faculty duties and responsibilities is set forth in the Office of Academic Affairs Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.4.1, http://oaa.osu.edu/OAAP_PHandbook.php.
During on-duty quarters, faculty members are expected to be available for interaction with students, service responsibilities and other responsibilities even if they have no formal course assignment that quarter. On-duty faculty members should not be away from campus for extended periods of time unless on an approved Special Research Assignment or other approved leaves (see section XIII). Faculty members are expected to schedule and hold office hours sufficient for meeting student needs in the classes assigned to them.

The university's policy with respect to faculty teaching load is set forth in the Office of Academic Affairs Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.4.2, http://oaa.osu.edu/OAAP_PHandbook.php and in the college's workload policy (Appendix 1).

X COURSE OFFERINGS AND TEACHING SCHEDULES

The college administration, working with department chairs and academic program leadership, annually develops an envelope of course offerings and course schedules. Through department chairs this is done in consultation with the faculty. While effort is made to accommodate the individual preferences of faculty members, the primary objective is to offer the courses needed by students at times most likely to meet student educational objectives. To assure classroom availability and to efficiently use resources, course offerings must be distributed across the day and week. To meet student needs, efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students required by University Rule 3335-8-17, www.trustees.osu.edu/ChaplIndex/index.php, will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent quarter.

XI LEAVES AND ABSENCES

The university's policies and procedures with respect to faculty leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook http://oaa.osu.edu/OAAP_PHandbook.php and Office of Human Resources Policies and Procedures website www.hr.osu.edu/policy/policyhome.htm. Leaves related to faculty research or other engagements in professional activities are generally handled under the guidelines of either Faculty Professional Leave (FPL) or Special Research Assignment (SRA). Leaves related to entrepreneurial activities or for personal reasons are generally covered under the guidelines for unpaid leaves.

With regard to absences from work, faculty are expected to complete 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 met. Discretionary absence from duty is not a right and the dean and department chairs retain the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular quarter is substantial. Rules of the University Faculty require that the Office of Academic Affairs approve any discretionary absence of ten or more days during a quarter.
When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let his/her department 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, www.hr.osu.edu/policy/index.aspx.

XII SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY


The college 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 in advance by the individual’s department chair and, where appropriate, the dean - regardless of the source of compensation. External consulting must also be approved in advance. Approval is contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity. It is university policy that faculty may not spend more than one business day per week on supplementally compensated activities and external consulting combined. Faculty who fail to adhere to university policies on these matters, including seeking approval for external consulting, will be subject to disciplinary action.

XIII FINANCIAL CONFLICTS OF INTEREST


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 members 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.
XIV GRIEVANCE PROCEDURES

Members of the college with grievances should discuss them with their immediate supervisor. The supervisor will review the matter and seek resolution, explain why resolution is not possible or refer the matter to the appropriate party. Content below describes procedures for the review of specific types of complaints and grievances:

Salary Grievances

With regard to salary grievances, faculty members who are not satisfied with the outcome of discussions with the department chair and wish to pursue the matter may be eligible to file a more formal salary appeal (the Office of Academic Affairs Policies and Procedures Handbook, http://oaa.osu.edu/OAAP_PHandbook.php).

Staff members who are not satisfied with the outcome of the discussion with their supervisor and wish to pursue the matter should contact Consulting Services in the Office of Human Resources (www.hr.osu.edu/).

Faculty Misconduct

Complaints alleging faculty misconduct or incompetence should follow procedures set forth in Faculty Rule 3335-5-04, www.trustees.osu.edu/ChapIndex/index.php.

Faculty Promotion and Tenure Appeals

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05, www.trustees.osu.edu/ChapIndex/index.php.

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.

Student Complaints

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty members should treat students with respect regardless of the apparent merit of the complaint and should provide a considered response. When students bring complaints about courses and instructors to a department chair or to an academic program chair, the individual contacted will work productively with their program or department counterpart to make sure that the issues are understood and that the faculty member is aware of the situation and involved in the resolution, where appropriate. The first step in any such process is to ascertain whether or not the student complaint requires confidentiality. If confidentiality is not required, the matter will be investigated as fully and fairly as possible and a response will be provided to both the student(s) and any affected faculty member(s) in a timely manner. If
confidentiality is required, it will be explained that it is not possible to fully investigate a complaint in such circumstances and the student(s) will be advised on options to pursue without prejudice as to whether the complaint is valid or not.

Faculty complaints regarding students must always be handled strictly in accordance with university rules and policies. Faculty members should seek the advice and assistance of the department chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct (see www.oaa.osu.edu/coam/home.html and www.senate.osu.edu/COAMDuties.pdf). The Code of Student Conduct (Faculty Rule 3355-23) can be found at www.trustees.osu.edu/ChapIndex/index.php

Accepted by FCOB faculty vote on March 12, 2010

Approved by Office of Academic Affairs:

________________________________________
Susan S. Williams
Vice Provost for Academic Policy and Faculty Resources

Date
APPENDIX 1

Faculty Responsibility Allocation (Workload) Policy
Max M. Fisher College of Business (FCOB)
September 2005

Faculty responsibilities in the Fisher College are allocated consistent with the core values and objectives that guide the actions of the college, as reflected in The Agenda for Action, promotion and tenure documents, and formal positions taken by the Executive Committee and the college faculty as a whole. The underlying premise of this policy is that the overall goals for excellence outlined in the Agenda for Action can be achieved only by capitalizing on the strengths and interests of the college faculty while also working to achieve their developmental goals.

Teaching and delivery of programs at the undergraduate, masters, and doctoral levels are core to our overall mission. In workload terms, the norm is that at least 50% of departmental workload is devoted to teaching related activities. This norm includes classroom instruction and other teaching activities, such as the preparation of texts and materials, preparation of new courses, individual student counseling and advising. The remaining workload time is devoted to knowledge creation activities (including sponsored research) and service.

I. Workload Principles

A. Contributions to total work load can be made in the form of teaching (classroom and non-classroom), research and service (including outreach activities).

B. Each department is responsible for establishing a system for weighting contribution tradeoffs between research, teaching, service, and outreach activities, subject to the following college-wide standards:

1. For a faculty member on a regular, full-time appointment, the sum of work load contributions should equal or exceed the equivalent of 9 classroom sections per academic year.

2. Unless specifically stated otherwise, all classroom teaching sections will count equally toward the total work load. Differences across sections in required effort are normally to be offset either by rotating assignments or by providing offsetting resources (e.g., GTA support).

3. Work load credits assigned for research and service activities should be judged to contribute to the mission of the college at rates equal to the corresponding number of classroom sections.
4. Normally, credits awarded for research will not exceed the equivalent of three classroom sections. Exceptions may exist in the case of extraordinary research success or where competitive forces mandate adjustment.

5. Normally the workload credit awarded for service and non-classroom teaching will not exceed the equivalent of two classroom sections. Truly exceptional service activity may warrant additional workload credit.

6. The department assignment of credits should allow faculty members with active research programs to invest in research at a rate that is competitive with standard opportunities across peer institutions.

7. The department assignment of credits must produce a total number of classroom section assignments that equals or exceeds the total number of classroom sections assigned to the faculty of that unit by the dean (i.e., the unit’s DTL—see section below).

C. In the event of conflicts between principles B. 6. and B. 7. above, potential remedies include: selective buy downs of nominal teaching loads, using outside funding and selective exchanges of workload credits for additional teaching by faculty who are without active research programs to rebalance the targeted average teaching load.

II. College Staffing Responsibilities

This and the remaining sections of this policy present guidelines and procedures for implementing the principles listed in section I above. The aggregate teaching load of the faculty is determined by the dean in consultation with department and program chairs consistent with accreditation standards and university needs. On a regular basis the teaching loads of FCOB departments are compared to those of benchmark and aspirant institutions to assure competitiveness in our ability to attract and retain high quality faculty.

III. Department Faculty Staffing Responsibilities

A. The Department Teaching Load (DTL) equals the benchmark teaching load of the department multiplied by the number of tenure track faculty lines available to that department, including visiting faculty. For general planning purposes, the benchmark teaching load is 4.5 per tenure track faculty member. This benchmark may be altered over time should competitive pressures in the various disciplines change.

B. The teaching load capacity of clinical faculty and other full time instructional staff (e.g. senior lecturers) is added to the department’s tenure track faculty based DTL to form a measure of overall faculty section coverage.

C. If a tenure track faculty member buys out of one or more units of teaching with external funding, the staffing of those sections remains the responsibility of the faculty member’s department. The college’s buyout policy contains the procedures to be followed.
D. Normally, in the case of personal leaves or when the college or university enters into a new agreement with any faculty member for reduced classroom teaching (such as a program chair or distinguished university professor), the department will retain responsibility for the enrollments called for in the agreed upon envelope of courses and the DTL will be reduced. Arrangements for alternative staffing will be determined through agreement of the department chair and the appropriate associate deans prior to leave approval. The dean remains the final arbiter in these matters.

In the case of professional leaves a department is expected to cover student enrollments. With dean’s office approval, resources “freed up” by the leave may be used in funding staffing to cover resulting unstaffed course sections.

E. In case of sick leave or reduced capacity, the college will be responsible for funding as many sections as are normally taught by that faculty member, or the DTL will be adjusted accordingly.

IV. Classroom Teaching Loads

The college recognizes that faculty excel in different ways and at different times. Therefore, there will be differential loads relative to the mix of teaching, service and research, to meet the multiple missions of the college and the university and to capitalize on the different strengths of our faculty.

Each department chair designs an internal unit evaluation system that must yield, at a minimum, the DTL (e.g., 4.5 section average) for the department

A. All new faculty with no prior experience hired to a tenure track position will generally be expected to have a lower than normal teaching load for at least the first three years on the faculty. These reductions will be included as part of the data furnished by department chairs in the negotiation of the DTL.

B. Department chair teaching loads will be consistent with the mission and responsibilities of each department and with the objectives of the chair as agreed upon with the dean. Department chair teaching load reductions do not reduce a department’s DTL.

C. In establishing individual teaching loads, the department chair may consider the extent to which a faculty member has received additional compensation (from the university or from outside sources) for specific activities (e.g., designing new courses or programs, or service activities) and the extent to which the department received benefits in determining the effect these activities will have on the individual’s classroom teaching load.

D. If the allocation of workload targets results in temporary overstaffing in an area, either additional sections will be made available to students or faculty will be asked to teach in other areas where they have or can develop a competence.
E. The assessments of the value of specific faculty activities are to be consistent with the promotion and tenure document. In determining teaching loads, chairs must attempt to judge faculty performance in ways that are consistent with this document, such as weighing the quality of and the tradeoff in relative effort required for the research publication, teaching, or service activity.

F. As with all matters of chair judgment, any faculty member who believes he/she is unfairly disadvantaged by department variance in policy implementation may appeal the course load decision, and the dean is the final arbiter. The process of appeal is described in Section VIII.

VI. Relation to Other Policies

A. All faculty members will be eligible for consideration for merit raises when funded. Merit pay increases will be based on quality of performance. Market adjustments may be considered separately. Policies governing pay increases and market adjustments are found in the College Compensation Policy.

B. This policy statement has no implications for the FCOB Promotion and Tenure Document, which stands as is.

VII. Timing of Performance Judgments

A. Teaching loads will generally be based on the performance of each faculty member during the previous three year period, except in the case of new faculty (as provided in Section IV.C.). The entire portfolio of contributions will be considered, as noted earlier, and factors such as the demands of administrative positions will be taken into account. Faculty are responsible to submit complete performance information and to do so by the deadline announced by the dean's office. Failure to do so risks omission from the performance review and salary adjustment process.

VIII. Appeals

Any appeals of workload assignment must be written and they must occur within 30 days of a faculty member being notified of the action generating the appeal. Appeals first go to the appropriate department chair. The department chair should inform the dean's office of the appeal and should respond to an appeal in writing within 20 days of its receipt. In the absence of a response, the appeal is considered denied and the faculty member may move to the next stage. The faculty member will have one week from receipt of the chair response to appeal the matter (in writing) to the dean or a designee of the dean.
VII. Timing of Performance Judgments

A. To implement this policy, it is necessary to coordinate with COB and University deadlines for teaching assignments. Tentative schedules for preliminary planning purposes will be based on the performance of each faculty member during the previous three year period, except in the case of new faculty (as provided in Section IV.C.). The entire portfolio of contributions will be considered, as noted earlier, and factors such as the demands of administrative positions will be taken into account. Faculty will submit complete performance information according to the schedule announced by the dean. Where incomplete performance data have been provided, chairs will make judgments based on the data they have available.

B. Each academic year, the Dean will communicate to the Department chairs a calendar of events and deadlines to implement the policy for that year.

VIII. Appeals

Any appeals must be written, and they must occur within 30 days of a faculty member's being notified of the action generating the appeal. Appeals must first go to the appropriate chair. The chair must respond to an appeal in writing. In the absence of a response, the appeal is considered denied and the faculty member may move to the next stage. The faculty member will then have one week from receipt of the chair response to appeal the matter (in writing) to the dean or a designee of the dean.