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Pattern of Administration

Department of XXX

I Introduction

This document provides a brief description of the Department of XXX as well as a description of its policies and procedures. It supplements the Rules of the University Faculty, and other policies and procedures of the university to which the department and its faculty are subject. The latter rules, policies and procedures, and changes in them, take precedence over statements in this document.

This Pattern of Administration is subject to continuing revision. It must be reviewed and either revised or reaffirmed on appointment or reappointment of the department chair. However, revisions may be made at any time as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the college office and the Office of Academic Affairs.

II Department Mission

Include department mission statement.

Wording here must be the same as in the Appointments, Promotion, and Tenure Document.

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/rules/university-rules.html) defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment. For purposes of governance, the faculty of this department include regular faculty with compensated FTEs of at least 50% in the department. Auxiliary faculty, emeritus faculty, and regular faculty joint appointees with FTEs below 50% in this department are 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.

The Department of XXX has a regular clinical track. Regular clinical track faculty titles are assistant professor of clinical XXX, associate professor of clinical XXX, and professor of clinical XXX. Regular clinical track faculty can comprise no more than 20% of the total RTT faculty. Regular clinical track faculty may vote in all matters of department governance except tenure track promotion and tenure decisions.

Departments and colleges within the Health Sciences have a 40% cap.

Clinical departments within the College of Medicine have no cap on regular clinical track faculty.

The Department of XXX has a regular research track. Regular research track faculty titles are research assistant professor of XXX, research associate professor of XXX, and research professor of XXX. Regular research track faculty can comprise no more than 20% of the tenure track faculty. Regular research track faculty may vote in all matters of department governance except tenure track promotion and tenure decisions and clinical track promotion decisions.
Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this department is provided in the Appointments, Promotion and Tenure Document.

A Distinguished Professor (colleges only)

Distinguished faculty members within the College of YYY may be awarded the title YYY Distinguished Professor in recognition of excellence in teaching, research, and service.

Include additional details about award (e.g. monetary award, public lecture).

Criteria for consideration of this honorific include:
- Rank of professor
- A minimum of five years service in the college
- Excellence in teaching, research, and service

The dean will solicit nominations annually from department chairs who may each submit one nomination.

Include description of nomination materials.

The dean will appoint a five member selection committee from among current YYY Distinguished Professors who will recommend up to three recipients. The honorific is limited to 20% of the full professors within the college.

Include description of selection process.

V Organization of Department Services and Staff

Include description of department offices, staff, and their functions.

VI Overview of Department Administration and Decision-Making

Policy and program decisions are made in a number of ways: by the department faculty as a whole, by standing or special committees of the department, or by the chair. The nature and importance of any individual matter determine how it is addressed. Department governance proceeds on the general principle that the more important the matter to be decided, the more inclusive participation in decision making needs to be. Open discussions, both formal and informal, constitute the primary means of reaching decisions of central importance.

VII Department Administration

A Chair

The primary responsibilities of the chair are set forth in Faculty Rule 3335-3-35, http://trustees.osu.edu/rules/university-rules.html. This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule 3335-6, http://trustees.osu.edu/rules/university-rules.html, also requires the chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to promotion and tenure.
Other responsibilities of the chair, not specifically noted elsewhere in this Pattern of Administration, are paraphrased and summarized below.

- To have general administrative responsibility for department programs, subject to the approval of the dean of the college, and to conduct the business of the department efficiently. This broad responsibility includes the acquisition and management of funds and the hiring and supervision of faculty and staff.

- To plan with the members of the faculty and the dean of the college a progressive program; to encourage research and educational investigations.

- To evaluate and improve instructional and administrative processes on an ongoing basis; to promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.

- To evaluate faculty members annually in accordance with both university and department established criteria; to inform faculty members when they receive their annual review of their right to review their primary personnel file maintained by their department and to place in that file a response to any evaluation, comment, or other material contained in the file.

- To recommend appointments, promotions, dismissals, and matters affecting the tenure of members of the department faculty to the dean of the college, in accordance with procedures set forth in Faculty Rule 3335-6 (http://trustees.osu.edu/rules/university-rules.html) and this department's Appointments, Promotion and Tenure Document.

- To see that all faculty members, regardless of their assigned location, are offered the departmental privileges and responsibilities appropriate to their rank; and in general to lead in maintaining a high level of morale.

- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.

Day-to-day responsibility for specific matters may be delegated to others, but the chair retains final responsibility and authority for all matters covered by this Pattern, subject when relevant to the approval of the dean, Office of Academic Affairs, and Board of Trustees.

Operational efficiency requires that the chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of department academic goals, however, is most successful when all faculty members participate in discussing and deciding matters of importance. The chair will therefore consult with the faculty on all educational and academic policy issues and will respect the principle of majority rule. When a departure from majority rule is judged to be necessary, the chair will explain to the faculty the reasons for the departure, ideally before action is taken.

### B Committees

Much of the development and implementation of the department's policies and programs is carried out by standing and ad hoc committees. The chair is an ex officio member of all department committees and may vote as a member on all committees except the Committee of Eligible Faculty and the Promotion and Tenure Committee.
Describe the department’s committee structure. Include number of members, how they are selected, length of term, how chair is selected. If students are permitted on committees, also include how they are selected and whether or not they may vote. There is nothing that prohibits students from voting on department committees, though it is good practice to exclude students from sessions that involve student confidentiality.

**College Investigations Committee (colleges only)**

In accordance with Faculty Rule 3335-5-04, the College of XXX shall have a College Investigations Committee. The College Investigations Committee is composed of seven tenured faculty members appointed to two-year staggered terms. The senior associate dean serves as non-voting chair of the College Investigations Committee.

The College Investigations Committee follows the investigations process established in Faculty Rule 3335-5-04 (http://trustees.osu.edu/rules/university-rules.html).

**College Salary Appeals Committee (colleges only)**

In accordance with Office of Academic Affairs requirements, the College of XXX shall have a College Salary Appeals Committee. The College Salary Appeals Committee is an ad-hoc committee composed of the faculty members of the College Executive Committee, excluding the associate deans, plus two full professors from departments other than that of the appellant. The department chair whose salary decision is being appealed does not serve on the committee. The committee elects its own chair when the committee is convened to hear an appeal.

The College Salary Appeals Committee follows the appeals process established in the Office of Academic Affairs Policies and Procedures Handbook (http://oaa.osu.edu/handbook.html).

The two committee college committee descriptions represent possible configurations for these required college committees.

**C  Centers (colleges only)**

**Establishment of College Centers**

College centers will have some mix, with variable emphases, of research/scholarship, instruction, service, clinical, or outreach missions; and should draw upon faculty from more than one department.

Faculty members wishing to establish a college center should first consult with their department chairs. With their department chairs’ support, the faculty members should create proposal to the dean addressing the following:

1) **Mission:** Explain the mission of the center and how it is aligned with the college’s strategic plan, including:
   a. The missions of the college (research, teaching, service, or outreach) most relevant to the center.
   b. The interdisciplinary nature of the center.
   c. The goals of the center that cannot be met within existing academic units.

2) **Faculty:** Describe the level of faculty interest and commitment to the center, including:
   a. The criteria for selecting the center’s faculty membership.
b. A list of faculty expressing interest in associating with the center and accompanying documentation that their chairs/directors support such involvement.

c. The extent to which staff and students will be involved and supported.

3) Administration: Describe the administrative structure and responsibilities of the director and oversight committee, including:

a. The name of the director or interim director of the center.

b. The proposed responsibilities of the director.

c. The function(s) and composition of the oversight committee. Center oversight committees within the College of XXX must have a majority faculty membership.

d. The main components of a pattern of administration for the center (to be formally completed and approved by the dean within a year of center establishment).

4) Budget/Funding: Specify budget and funding sources for the center, including:

a. The expected budget for the first year of operation.

b. Funding sources and one-time and recurring costs.

c. Existing or new equipment, space and facilities needed to establish the center.

d. The sustainability of the center, including possibilities for external funding and details of related funding proposal submissions.

5) Evaluative Criteria and Benchmarks: Propose and define specific criteria and benchmarks against which the center will be measured.

6) Supporting Materials: Solicit and include letters of support from relevant department chairs and school directors within the college, interested parties outside the college, and entities with similar emphases at other universities.

A college academic center shall be administered by a director who shall be appointed by and report to the dean for a four-year term. The director is eligible for reappointment after undergoing formal reappointment review conducted in the fourth year of the director’s term by the faculty members of the center oversight committee. The recommendation of the review committee is advisory to the dean.

Review of College Centers

College centers will be reviewed two years after initial establishment and at four-year intervals thereafter. The College Executive Committee will conduct the review using the following information.

1) Mission.

a. Original mission statement.

b. Proposal establishing the center.

c. Annual reports.

d. Description or list of all center activities, events, and initiatives that have contributed to fulfilling the mission and objectives of the center. If current activities differ from those originally envisaged or articulated in the mission statement, explain this evolution.

2) Faculty and Student Involvement and Contribution.

a. List of current faculty and graduate student affiliates or associates.

b. List of past faculty and graduate student affiliates or associates.

c. List of all faculty publications, lectures, grants, or other activities related to their work with the center, focusing on those that contribute most centrally to the mission of the center.

d. List of all student publications, lectures, grants, or other activities related to their work with the center.

3) Administrative Structure and Responsibilities.

a. Description of administrative structure.
i. Responsibilities and activities of all administrative staff, indicating their contributions to the mission of the center and its objectives.

ii. Indicate the contributions made by the oversight committee to the mission of the center and its objectives.

b. Pattern of administration.

4) Budget.
   a. Current budget.
   b. Projected budget for next four years.
   c. Past budgets since last review.
   d. Description of the budgetary context for the center, outlining specific information regarding those expenses charged to the university’s general funds. Externally generated funds produced by the center should be itemized and inked to the functions and services articulated in the mission statement.

5) Evaluative Criteria and Benchmarks.
   a. List of evaluative criteria and benchmarks articulated in the original center proposal, identifying and describing the degree to which the center has met (or failed to meet) its stated evaluative criteria and benchmarks.
   b. Identify and justify any new evaluative measures and describe the degree to which the center has met these criteria or benchmarks.
   c. Provide any specific narrative information or data as appropriate, and attach as appendices any documentation (letters of recommendation, awards, news releases) that demonstrate how the center has met its criteria or benchmarks.

After discussing these materials with the center director and the oversight committee, the College Executive Committee will make an advisory recommendation to continue or discontinue the center.

VIII Faculty Meetings

The chair will provide to the faculty a schedule of department faculty meetings at the beginning of each academic term. The schedule will provide for at least one meeting per semester and normally will provide for monthly meetings. A call for agenda items and completed agenda will be delivered to faculty by e-mail before a scheduled meeting. Reasonable efforts will be made to call for agenda items at least seven days before the meeting, and to distribute the agenda by e-mail at least three business days before the meeting. A meeting of the department faculty will also be scheduled on written request of 25% of the department regular faculty. The chair will make reasonable efforts to have the meeting take place within one week of receipt of the request. The chair will distribute minutes of faculty meetings to faculty by e-mail—within seven days of the meeting if possible. These minutes may be amended at the next faculty meeting by a simple majority vote of the faculty who were present at the meeting covered by the minutes.

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

For purposes of discussing department business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum will be defined as a simple majority of all faculty members eligible to vote.

Either the chair 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 at least a majority of all faculty members eligible to vote. Balloting will be conducted by mail or e-mail when necessary to assure
maximum participation in voting. When conducting a ballot by mail or email, faculty members will be given one week to respond.

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 department accepts the fundamental importance of full and free discussion but also recognizes that such discussion can only be achieved in an atmosphere of mutual respect and civility. Normally department meetings will be conducted with no more formality than is needed to attain the goals of full and free discussion and the orderly conduct of business. However, Robert’s Rules of Order will be invoked when more formality is needed to serve these goals.

X  Policy on Faculty Duties and Responsibilities

The Office of Academic Affairs requires departments to have a policy on faculty duties and responsibilities (See the OAA Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.4.5, http://oaa.osu.edu/handbook.html). The information provided below supplements these guidelines.

During on-duty semesters, 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 semester. [Insert department policies regarding holding office hours.] On-duty faculty members should not be away from campus for extended periods of time unless on an approved Faculty Professional Leave or other approved leaves (see section XIII).

Include department specific policies.

A  Policy on Faculty Teaching Load

The Office of Academic Affairs requires departments to have a policy on faculty duties and responsibilities (See the OAA Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.4.5.1, http://oaa.osu.edu/handbook.html). The information provided below supplements these guidelines.

Include department specific policies.

B  Special Assignments

Information on special assignments (SAs) 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.

Untenured faculty will normally be provided an SA for research during their probationary period. Reasonable efforts will be made to award SA opportunities to all productive faculty members on a rotating basis subject to the quality of faculty proposals, including their potential benefit to the department or university, and the need to assure that sufficient faculty are always present to carry out department work. The department’s committee on [insert appropriate peer group here] will evaluate all SA proposals and make recommendations to the chair. The chair's recommendation to the dean regarding an SA proposal will be based on the quality of the proposal and its potential benefit to the department or university and to the faculty member as well as the ability of the department to accommodate the SA at the time requested.
XI  Course Offerings and Teaching Schedule

The department chair will annually develop a schedule of course offerings and teaching schedules in consultation with the faculty, both collectively and individually. While every effort will be made to accommodate the individual preferences of faculty, the department's first obligation is to offer the courses needed by students at times most likely to meet student needs. To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs, reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students required by Faculty Rule 3335-8-17 ([http://trustees.osu.edu/rules/university-rules.html](http://trustees.osu.edu/rules/university-rules.html)) will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent quarter. Finally, to the extent possible, courses required in any curriculum or courses with routinely high demand will be taught by at least two faculty members across quarters of offering to assure that instructional expertise is always available for such courses.

XII  Allocation of Department Resources

The chair is responsible for the fiscal and academic health of the department and for assuring that all resources—fiscal, human, and physical—are allocated in a manner that will optimize achievement of department goals.

The chair will discuss the department budget at least annually with the faculty and attempt to achieve consensus regarding the use of funds across general categories. However, final decisions on budgetary matters rest with the chair.

Research space shall be allocated on the basis of research productivity including external funding and will be reallocated periodically as these faculty-specific variables change.

The allocation of office space will include considerations such as achieving proximity of faculty in subdisciplines and productivity and grouping staff functions to maximize efficiency.

The allocation of salary funds is discussed in the Appointments, Promotion and Tenure Document.  

Include department policies on the allocation of travel funds.

XIII  Leaves and Absences

The university's policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook ([http://oaa.osu.edu/handbook.html](http://oaa.osu.edu/handbook.html)) and Office of Human Resources Policies and Procedures website, [www.hr.osu.edu/policy/policyhome.htm](http://www.hr.osu.edu/policy/policyhome.htm). The information provided below supplements these policies.

Include department specific policies.

A  Discretionary Absence
Faculty are expected to complete a travel request or an Application for Leave form well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular quarter is substantial. Rules of the University Faculty require that the Office of Academic Affairs approve any discretionary absence longer than 10 continuous business days (See Faculty Rule 3335-5-08) and must be requested through an Application for Leave form.

B Absence for Medical Reasons

When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. For additional details see OHR Policy 6.27, 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, www.hr.osu.edu/policy/index.aspx. The information provided below supplements these policies.

Include department specific policies.

D Faculty Professional Leave

Information on faculty professional leaves is presented in the OAA Policy on Faculty Professional Leaves (http://oaa.osu.edu/assets/files/documents/facultyprofessionalleaves.pdf). The information provided below supplements these policies.

The department’s committee on [insert appropriate peer group here] will review all requests for faculty professional leave and make a recommendation to the department chair based on the following criteria:

Include department specific criteria for reviewing faculty professional leave requests.

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

Include department specific policies.

XIV Supplemental Compensation and Paid External Consulting

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

This department adheres to these policies in every respect. In particular, this department expects faculty members to carry out the duties associated with their primary appointment with the university at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation must be approved by the department chair regardless of the source of compensation. External consulting must also be approved. Approval will be contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the department. In addition, it is university policy that faculty may not spend more than one business day per week on supplementally compensated activities and external consulting combined.

Faculty who fail to adhere to the university's policies on these matters, including seeking approval for external consulting, will be subject to disciplinary action.

Include department specific policies.

XV Financial Conflicts of Interest

Information on faculty supplemental compensation is presented in the university’s Policy on Faculty Financial Conflict of Interest (http://oaa.osu.edu/assets/files/documents/financialconflictofinterest.pdf). A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

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

XVI Grievance Procedures

Members of the department with grievances should discuss them with the chair who will review the matter as appropriate and either seek resolution or explain why resolution is not possible. Content below describes procedures for the review of specific types of complaints and grievances

A Salary Grievances

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the chair. The faculty or staff member should provide documentation to support the complaint.

Faculty members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter may be eligible to file a more formal salary appeal (the Office of Academic Affairs Policies and Procedures Handbook, http://oaa.osu.edu/handbook.html).

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

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

C Faculty Promotion and Tenure Appeals


D Sexual Harassment


E Student complaints

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about courses and instructors to the department chair, the chair will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not.

Faculty complaints regarding students must always be handled strictly in accordance with university rules and policies. Faculty should seek the advice and assistance of the chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct (see www.oaa.osu.edu/coam/home.html and http://senate.osu.edu/committees/COAM/COAM.html).

F Code of Student Conduct

In accordance with the Code of Student Conduct (http://trustees.osu.edu/rules/code-of-student-contact.html), faculty members will report any instances of academic misconduct to the Committee of Academic Misconduct.

G Professional Student Honor Code

Include the web reference for any professional student honor code that applies to your students.