

VOLUME 2 FACULTY

CHAPTER 1 FACULTY DEVELOPMENT

1.0 FACULTY PROFESSIONAL LEAVE

Revised 05/01/08

Edited: 05/01/08

The Ohio State University Board of Trustees (BOT) approved a Faculty Professional Leave Program (FPL) for this institution on 9/9/77 (Resolution No. 78-21) based on Ohio Revised Code 3345.28 (<http://codes.ohio.gov/>). The BOT resolution requires each college and TIU to establish formal criteria and procedures for reviewing the merits of proposals submitted from faculty in their units. It is essential that there be careful planning and rigorous peer review of FPL proposals and that the approved purpose for these leaves be strictly fulfilled.

FPL proposals generally emphasize enhancement of research skills and knowledge. However, faculty members may use an FPL for substantial investment in pedagogical or administrative skills and knowledge when these are judged to be mutually beneficial to the faculty member and his or her academic unit.

The FPL program was created to give faculty a period of uninterrupted time to invest in their professional development. Activities that entail little or no investment in new skills and knowledge are not appropriate for the program. In addition, faculty should restrict other employment activity during a leave, including employment approved under the paid external consulting policy, to that which clearly enhances the purposes of the leave (see Volume 1, Chapter 6, Section 5.0).

In evaluating FPL proposals, units and colleges should place greatest weight on the merits of the proposal in light of the professional development of the faculty member and the advancement of the academic mission of the unit and college.

Although there are many advantages to spending the FPL at another university or in industry or at some other appropriate institution, such an appointment is not essential if the plan for the leave is meritorious in its own right.

1.1 REQUIRED APPROVALS

Revised 11/09/04

Edited: 08/01/07

Columbus Campus: TIU head college dean, OAA, BOT.

Regional Campus: Regional campus dean, TIU head, OAA, BOT.

The college or regional campus sends OAA an original and one copy of the complete application including all attachments, except item 13 (curriculum vitae). Submit only one copy of the CV.

Proposals should reach OAA at least two months prior to the start of the proposed leave. Individual colleges and regional campuses may establish their own deadlines for reviewing FPL proposals.

OAA will approve FPL proposals that are consistent with the technical requirements of the program and that have been approved by the TIU head and college dean or regional campus dean. Once approved by OAA, leaves are recommended to the BOT for final approval. OAA notifies the college dean or regional campus dean when BOT approval has been granted.

Regional campus proposals are reviewed and approved first by the regional campus dean and then forwarded to the TIU head for approval. The proposal is then returned by the TIU to the regional campus, which is responsible for submitting the leave application to OAA. The college office in which the TIU is located is notified, but is not directly involved in the approval process.

1.2 TIMING

Revised 08/04/09

Edited: 08/04/09

An FPL should be considered for any period of intensive study or research not to exceed one academic year.

A multi-quarter FPL need not be for a continuous period and may bridge an off-duty quarter or semester; however, the leaves may not bridge two academic years.

An SRA and an FPL may occur in contiguous on-duty quarters or semesters (including spring-autumn). An FPL will not be granted for less than one quarter.

1.3 ELIGIBILITY

Revised 11/09/04

Edited: 08/01/07

Ohio Revised Code 3345.28 specifies that only tenured faculty members with at least seven years of service as a regular faculty member at Ohio State are eligible for an FPL at this institution. Years of service at another university and years served in auxiliary appointments cannot be credited toward the required years of service at Ohio State.

Definition of a "year of service" per BOT Resolution No. 78-21: "Academic year of teaching service" shall mean any academic year in which the full-time faculty member, while in such status, whether on nine months or eleven months appointments, had significant responsibilities to an instructional unit or units of the university.

When a faculty member has taken one or more unpaid leaves of absence (LOA) in the course of a seven year period, the years of service will be calculated according to the following guidelines, applicable both to 9- and 12-month faculty. In calculating seven years of service an academic year counts as one full year of service if the faculty member was on full-time duty at least two quarters or one semester of that year.

Situations when a faculty member holds less than a full-time appointment will be resolved on a case by case basis by OAA.

A faculty member who takes an FPL, regardless of its duration (one or two semesters or one, two or three quarters), becomes eligible again only after completing an additional seven years of service at Ohio State after the last term of the FPL has been completed.

1.4 COMPENSATION

Revised 03/02/07

Edited: 08/01/07

Quarters on Leave	Salary Reduction
1 or 2	No reduction
3 or 4	1/3 over the year
Semesters on Leave	Salary Reduction
1	No Reduction
2	1/3 over 2 semesters

The salary as calculated above represents the total amount that may be earned from Ohio State general funds. Thus units and colleges may not rehire faculty during the period of their FPL leave to teach or to engage in other supplemental compensated activities.

The FPL application should describe any non-Ohio State compensation that the faculty member will receive during the period of the FPL. Double compensation is illegal under Ohio law. The university cannot pay someone for the

same work that an external body is also paying. The BOT resolution permits faculty on FPL for longer than one quarter to augment their leave stipend with funds from external sources such as research grants, provided that:

- the activity to be compensated supports the purposes of the FPL
- the combined external support and reduced leave stipend do not exceed the level of the regular annual salary

In the event that external support funds are available that produce a salary higher than the regular annual salary, the excess must be used to reimburse the university for its costs. When a faculty member documents substantial increased living costs necessitated by the leave, an exception to this policy may be made with the approval of the appropriate dean and the provost.

Colleges may create, with the approval of OAA, competitive programs for replacing, from non-general funds sources, some or all of the reduced salary associated with an FPL.

1.5 FACULTY OBLIGATIONS

Revised 11/09/04

Edited: 08/01/07

As part of the application process, faculty members are required to sign a three-part statement that:

- they understand and accept their obligation to return for a full year of service to the university following completion of the FPL
- they understand that supplemental compensation, or other compensation from university general funds, is not permitted during an FPL
- they are required to submit a written report (see below) of goals and accomplishments within 60 days of the date of their return to service

1.6 REPORT

Revised 08/04/09

Edited: 08/04/09

A brief summary of goals and accomplishments must be submitted to OAA at the conclusion of the FPL. Please send to the attention of Bobbie Houser by any of the following methods:

- campus mail—203 Bricker Hall, 190 North Oval Mall
- FAX—614-292-3658
- E-mail—houser.73@osu.edu (report may be either in the body of the message or attached as a .doc or .pdf file)

The report is ordinarily copied to the TIU head and college dean or regional campus dean if applicable; however, the TIU and college may ask for a more detailed report than the brief summary required by OAA.

1.7 CHANGES IN TIMING OR CANCELLATION

Revised 11/09/04

Edited: 08/01/07

The State of Ohio annually monitors the timing and completion of FPLs. FPLs are a matter of public record; therefore, faculty members may not cancel or change the timing of a leave without submitting a written request for the change through the same levels of approval listed above.

No special form is required to change or cancel an FPL, but the request must be made in writing.

The faculty member submits a written explanation to the TIU head or regional campus dean, which is directed to OAA after signatures of concurrence at the next level have been added.

OAA submits the change or cancellation to the BOT for final approval as a matter of public record and notifies the college dean or regional campus dean when BOT approval has been granted.

Changes in timing may occur prior to the start of the leave or during the leave.

2.0 SPECIAL RESEARCH ASSIGNMENT

Revised: 05/14/01

Edited: 05/01/08

The Special Research Assignment (SRA) releases a faculty member from regular duties for a period of up to one full quarter or semester so that he or she may concentrate on a scholarly endeavor or invest in a relatively brief professional development opportunity.

In evaluating SRA proposals, units and colleges should assure that the plan will both benefit the faculty member and advance the academic mission of the unit and college. An SRA may be completed on campus or away from campus.

SRA proposals generally emphasize completion of a research project or enhancement of research skills and knowledge. However, an SRA may be used for investment in pedagogical or administrative skills and knowledge when these are judged to be mutually beneficial to the faculty member and his or her academic unit. SRAs are not to be used for course development or service assignments.

An SRA and an FPL may occur in contiguous on-duty quarters or semesters (including spring-autumn).

2.1 REQUIRED APPROVALS

Revised: 05/14/01

Edited: 08/01/07

Columbus Campus: TIU chair, college dean.

Regional Campus: TIU chair, regional campus dean.

2.2 TIMING

Revised: 05/14/01

Edited: 08/01/07

An SRA is normally granted for one academic quarter or semester. However, SRAs of shorter duration are possible.

SRAs should not be granted unless the faculty member can be released from most duties.

For any period of intensive study or research exceeding one quarter or semester, the FPL Program should be considered.

2.3 ELIGIBILITY

Revised: 05/14/01

Edited: 08/01/07

Any faculty member is eligible who needs one quarter or semester or less of released time from other duties in order to concentrate on a scholarly endeavor or to invest in a brief professional development activity, such as a month-long workshop outside of central Ohio.

SRAs should be awarded on a competitive basis within the TIU and/or college or regional campus. While there is no university designated limit on the number of SRAs that may be granted over the course of the academic year, units

must assure that sufficient faculty are on duty at all times to meet obligations to students and other constituencies, and to conduct regular business. If they wish, individual TIUs and/or colleges or campuses may designate local limits on the number of SRAs that they will grant during an academic year.

2.4 COMPENSATION

Revised: 05/14/01

Edited: 08/01/07

Units pay full salary to the faculty member since the SRA is normally of one-quarter or semester duration. It is inappropriate to supplement compensation from general funds during an SRA.

If a faculty member will be paid full salary by another institution during the period in question, the faculty member should request an unpaid leave of absence (LOA) (see Section 3.0 of this chapter) rather than an SRA. Double compensation is illegal under Ohio law. The university cannot pay someone for the same work that an external body is also paying.

The SRA application should describe any non-Ohio State compensation that the faculty member will receive during the period of the SRA.

3.0 UNPAID LEAVES OF ABSENCE

Revised: 07/26/04

Edited: 08/01/07

Faculty members may request an unpaid leave of absence for personal or professional reasons, including family difficulties or other matters that prevent a faculty member from carrying out duties for a relatively short period of time or illness that continues after a faculty member has used up paid sick leave.

Paid sick leave should always be used before a leave of absence is granted for illness.

In the event that the illness turns out to be long-term and disability retirement becomes necessary, STRS will not consider disability retirement until paid sick leave has been exhausted.

Professional reasons include the opportunity to take a temporary paid position outside the university that will enhance professional development and increase the faculty member's value to the academic unit on his or her return. A copy of the letter of offer to the faculty member setting forth the terms and goals of the temporary position must be attached to the faculty member's request for approval.

Leaves of absence are not granted in the following circumstances:

- to untenured faculty in their terminal year of employment
- to faculty who have accepted new permanent employment

If the reason for the request includes the opportunity to take a temporary paid position outside the university that will enhance professional development, the faculty member must attach to the request a copy of the letter of offer setting forth the terms and goals of the temporary appointment.

Faculty on an unpaid leave of absence may not be compensated by the university during the period of the leave as the leave is, by definition, a period without pay. Supplemental compensation is inapplicable when there is no base pay.

Approval is necessarily based on the reasonableness of the request; the availability of suitable instructional staff to cover the faculty member's teaching responsibilities; and, in the case of leaves for professional purposes, the potential value of the proposed leave to the TIU.

Units and colleges that grant leaves without OAA and BOT approval not only violate institutional policy but also put the institution at risk.

3.1 REQUIRED APPROVALS

Revised: 07/26/04

Edited: 08/01/07

Columbus Campus: TIU head, college dean, OAA, BOT.

Regional Campus: Regional campus dean, OAA, BOT.

3.2 TIMING

Revised: 07/26/04

Edited: 08/01/07

A leave of absence is granted for no more than one year at a time and may not exceed two consecutive years.

3.3 PROCEDURES

Revised: 07/26/04

Edited: 08/01/07

The faculty member writes a letter to the TIU head, or regional campus dean if applicable, explaining the reason for the request, the timing of the leave, and suggested arrangements for covering his or her teaching responsibilities.

No special form is required. Approval signatures may be either added directly to the faculty member's request letter, or a separate letter of approval may be generated and attached before forwarding to the next level.

Following tentative approval by OAA and before the leave is submitted to the BOT for approval, the unit/college must obtain written approval from the faculty member's prospective new employer to place the individual on leave of absence status at Ohio State.

3.4 CHANGES

Revised: 07/26/04

Edited: 08/01/07

Faculty members may not cancel or change the timing of an unpaid leave without submitting a written request for the change through the same levels of approval listed above. Changes require approval by the BOT.

No special form is required to change or cancel a leave of absence but the request must be in writing. Changes in timing may occur prior to the start of the leave or during the leave.

3.5 EXTRAORDINARY CIRCUMSTANCES

Revised: 07/26/04

Edited: 08/01/07

In rare circumstances, OAA will approve a one-year leave of absence for a truly exceptional faculty member (a member of the National Academy of Science or the equivalent) who has accepted new permanent employment, if there is a reasonable chance that providing the leave of absence will facilitate the faculty member's return to Ohio State at the conclusion of the leave.

In instances where an leave of absence for a departing faculty member is not appropriate in light of the above guidelines but a unit and college wish, nonetheless, to facilitate that individual's return to Ohio State, the chair and dean may request approval from OAA, within two years of departure, to rehire the faculty member into a vacant position without a national search. The unit/college may not promise the faculty member in advance to rehire him or her at some future date since intervening events could make it undesirable or not feasible to follow through on such a commitment.

4.0 ENTREPRENEURIAL UNPAID LEAVES OF ABSENCE

Revised: 07/26/04

Edited: 08/01/07

A faculty member may request an entrepreneurial unpaid leave of absence when a company offers him/her a regular paid position because of his/her expertise with a particular technical problem or process.

The university does not grant leaves of absence:

- to untenured faculty in their terminal year of employment
- to faculty who have accepted new permanent employment

Faculty on an unpaid leave of absence may not be compensated by the university during the period of the leave as the leave is, by definition, a period without pay. Supplemental compensation is inapplicable when there is no base pay.

Units and colleges that grant leaves without OAA and BOT approval not only violate institutional policy but also put the institution at risk.

No special form is required. Approval signatures may be either added directly to the faculty member's request letter, or a separate letter of approval may be generated and attached before forwarding to the next level.

4.1 REQUIRED APPROVALS

Revised: 07/26/04

Edited: 08/01/07

Columbus Campus: TIU head, college dean, Office for Technology Licensing, OAA, BOT.

Regional Campus: Regional campus dean, Office for Technology Licensing, OAA, BOT.

4.2 TIMING

Revised: 07/26/04

Edited: 08/01/07

Requests for entrepreneurial unpaid leaves of absence may not be for more than one year at a time and may not exceed two consecutive years.

4.3 PROCEDURES

Revised: 07/26/04

Edited: 08/01/07

The faculty member writes a letter to the TIU head, or regional campus dean if applicable, to include the following required content, and with a copy of the letter of offer from the prospective employer attached.

The letter of offer from the prospective employer must include the following:

- statement of terms and goals of the appointment
- statement of understanding of and concurrence with the faculty member's status on unpaid leave from the university
- statement of affirmation that appointment of the faculty member to this position is deemed crucial to the success of the company

The faculty member's request letter must include the following:

- explanation of the reason for the request, timing of the leave, and the potential benefits of the entrepreneurial experience to his or her professional development and to the TIU, college and university

- suggested arrangements for meeting his or her responsibilities during the leave of absence
- statements that he or she understands and is committed to:
 - observe college and university entrepreneurial unpaid leave of absence policies and procedures
 - observe university conflict of interest policies and procedures
 - observe university guidelines governing faculty participation in companies commercializing research that faculty have performed as employees of Ohio State
 - statement to the Office for Technology Licensing that discloses any discoveries, inventions, designs, know-how, software, and/or any other intellectual property that he or she has developed while a faculty member of Ohio State and that may be related, either directly or indirectly, to his or her activities with the company while on entrepreneurial leave of absence

4.4 CHANGES IN TIMING OR CANCELLATION

Revised: 07/26/04

Edited: 08/01/07

Faculty members may not cancel or change the timing of an unpaid leave without submitting a written request for the change through the same levels of approval listed above. Changes require Board of Trustees approval.

No special form is required to change or cancel a leave of absence but the request must be in writing. Changes in timing may occur prior to the start of the leave or during the leave.

5.0 EXCLUSION FROM THE PROBATIONARY PERIOD

Revised: 03/02/07

Edited: 08/01/07

5.1 BIRTH OF A CHILD OR ADOPTION OF A CHILD UNDER AGE SIX

Revised: 01/07/09

Edited: 01/07/09

Units will notify OAA within one year of the birth of a child or the adoption of a child under age six of a probationary faculty member. One year will be excluded automatically from the probationary period unless a nonrenewal notice has been issued, **up to a maximum of three years.**

Requests to decline a one-year exclusion under Faculty Rule 3335-6-03 (D) (2) must be submitted on the Declination of Exclusion of Service Time from Tenure Probationary Period form.

5.2 ADVERSE EVENTS

Revised: 03/02/07

Edited: 08/01/07

Annually every unit should remind its probationary faculty (other than those who have received nonrenewal notices) of Faculty Rule 3335-6-03 (D) (2).

Under this rule the maximum time that may be excluded from the probationary period is three years of service, except in extraordinary circumstances.

Applications to exclude time under this rule must be submitted on the Request for Exclusion of Service Time from the Tenure Probationary Period form.

Requests to exclude time under Section (D) (2) require, in addition to the form, the following items:

- unit promotion & tenure committee review
- documentation of the adverse event leading to the request including, if not self-evident, why the adverse event was beyond the faculty member's control and how it interfered with productivity

- documentation of the faculty member's productivity to date

The adverse events providing the basis for the request must be clearly beyond those experienced by most probationary faculty. For example, most faculty who conduct laboratory-based research must purchase equipment, obtain various kinds of approvals (drug licenses or animal research protocols), and obtain funding before they can begin their research. To the extent that such delays are normal, they do not constitute a basis for an exclusion of time from the probationary period.

The unit may postpone consideration of a request to exclude time due to an adverse event that occurs early in the probationary period, when such postponement is reasonable given the circumstances, in order to see whether or not productivity will return to the expected level after that event.

As stated in Faculty Rule 3335-6-03, an exclusion of time from the probationary period in no way limits the right of the university to terminate a probationary appointment prior to the time of the mandatory review for promotion and tenure, should circumstances warrant such action.

An exclusion of time results in a revised mandatory review year for promotion and tenure. Faculty members who have had time excluded from the probationary period may undergo P&T review prior to the revised mandatory review year, should the unit faculty judge such a review to be appropriate.

Such action is at the discretion of the unit faculty, not the probationary faculty member.

Should a negative decision result from a P&T review that occurs prior to the revised mandatory review year, this decision will not result in nonrenewal of the probationary appointment. The faculty member still has the option of undergoing P&T review in the revised mandatory review year.

6.0 EXTENSION OF PROBATIONARY PERIOD FOR PART-TIME FACULTY

Revised: 03/25/05

Edited: 08/01/07

Probationary tenure track faculty whose appointment is less than full-time (but 50% FTE or greater) may request an extension of the probationary period in accordance with Faculty Rule 3335-6-03 (F). The extension shall be for an integral number of years based on the principle that the usual probationary period represents full-time service. The maximum permissible extension of a probationary period under this paragraph is one year for a probationary instructor, three years for a probationary assistant professor (including time spent at the rank of instructor) and one year for a probationary associate professor or professor.

OAA policy does not approve extensions in advance. During the second year of a faculty member's reduced appointment, OAA will approve an extension of one year, for example, in recognition of two years of service at 50% FTE. At the appropriate time the TIU head forwards a letter requesting approval of the extension to the dean and then OAA.

The TIU head's letter to the dean should state all relevant information (the amount of the reduction, when it will take affect, and whether it is permanent or temporary). For probationary tenure track faculty, the letter should include a projected revision of the review schedule and projected year in which the adjusted "Fourth-Year" review would fall, if the Fourth-Year Review has not already occurred.

For additional information on reduction of FTE, see Volume 1, Chapter 5, Section 7.3.

7.0 EXTRA COMPENSATION

Revised: 08/01/07

Edited: 08/01/07

See Volume 1, Chapter 6, Section 2.0 – 2.3.

8.0 PAID EXTERNAL CONSULTING

Revised: 08/01/07

Edited: 08/01/07

See Volume 1, Chapter 6, Sections 4.0 – 4.2 and the Senate Policy on Paid External Consulting, Volume 3.

CHAPTER 2 INSTRUCTION

The Rules of the University Faculty contains policy on instruction that applies to all faculty members at the university.

1.0 UNIVERSITY REQUIRED COURSES

Revised: 08/01/07

Edited: 08/01/07

1.1 PRECEDENCE OF SCHEDULED HOURS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-11

1.2 CLASS ROSTERS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-13

2.0 EXAMINATION AND MARKS

Revised: 08/01/07

Edited: 08/01/07

2.1 COURSE EXAMINATIONS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-19

2.2 SCHEDULES FOR FINAL EXAMINATIONS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-20

2.3 MARKS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-21

2.4 REPORT OF MARKS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-22

2.5 ALTERATION OF MARKS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-23

2.6 RETENTION OR DISPOSAL OF MATERIALS SUBMITTED TO MEET COURSE REQUIREMENTS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-23.1

2.7 CREDIT HOURS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-24

2.8 ADMISSION TO COURSES AS AN AUDITOR

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-8-29

3.0 ABSENCES

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-9-21

3.1 GROUP ABSENCES

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-9-22

CHAPTER 3 ANNUAL REVIEW

1.0 ANNUAL REVIEW OF REGULAR FACULTY

Revised: 07/26/04

Edited: 08/01/07

1.1 DESCRIPTION OF REVIEW PROCESS IN APT DOCUMENT

Revised: 07/26/04

Edited: 08/01/07

TIU APT documents must establish procedures, required documentation, and timing of submission of documentation for annual and Fourth-Year Reviews of RTT faculty and annual and contract renewal reviews of RCT and RRT faculty.

If the head of a large TIU with sections or divisions wishes to delegate to section or division heads the handling of reviews, the arrangement must be described in the TIU's APT document. The TIU head who delegates responsibility for reviews to division or Section heads is accountable for the process and should maintain regular oversight of the reviews.

1.2 PURPOSE

Revised: 07/26/04

Edited: 08/01/07

An annual written performance review that looks both backward and forward is mandated for every regular faculty member. The purposes of such a review are as follows:

- Assist faculty in improving professional productivity through candid and constructive feedback and through the development of professional development plans that meet the joint needs of the unit and the faculty member.
- Establish the goals against which faculty performance will be assessed in the foreseeable future.
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

In addition, annual reviews of probationary faculty serve to monitor progress toward tenure and determine whether the probationary appointment will be continued for another year or terminated, subject to the relevant standards of notice per Faculty Rule 3335-6-08. In the case of RTT faculty, annual reviews (including Fourth-Year Review) serve to monitor progress toward tenure.

1.3 RECOMMENDED PROCEDURES

Revised: 08/04/09

Edited: 08/04/09

The annual review process for regional campus tenured faculty should be similar or identical to the review process for regional campus probationary faculty. The Columbus campus TIU may establish review procedures for its tenured regional campus faculty.

OAA recommends that the annual review process for probationary faculty be similar or identical to the Fourth-Year Review.

OAA recommends that the annual review processes for probationary RCT and RRT faculty be similar or identical to RTT faculty.

1.4 REQUIRED PROCEDURES

Revised: 08/04/09

Edited: 08/04/09

TIUs must maintain a current CV on all regular faculty members. These CVs should be in an accessible location where any faculty member may review them.

All faculty members must submit an annually updated documentation of performance and accomplishments to the TIU head (and regional campus dean, if applicable).

Documentation for probationary faculty must follow the format of the P&T core dossier outline established by OAA in Volume 3. OAA encourages all probationary faculty members to use OSU:pro to upload and format this dossier; Fourth-Year Review candidates are required to do so.

The review for regional campus probationary faculty must be conducted first at the regional campus, with emphasis on teaching and service, and then in the TIU at the Columbus campus, with emphasis on research and scholarly and creative activity.

OAA requires all faculty at all levels to be reviewed annually by the TIU head or designee. Annual reviews of all faculty members must include a scheduled opportunity for a face-to-face meeting as well as a written assessment.

1.5 CULMINATING LETTER OR OTHER WRITTEN REPORT

Revised: 07/26/04

Edited: 08/01/07

TIU heads must include a narrative evaluation addressing the purposes of the annual review described above in the culminating letter or report. A perfunctory checklist lacking narrative, evaluative content does not meet this requirement.

The report must also inform the faculty member of the right to review his/her primary personnel file and to submit for inclusion in the file a written comment on any material contained therein.

Reports to a probationary faculty member must also include a statement informing the faculty member of the review outcome.

1.5.1 MINIMUM CONTENT

Revised: 05/01/08

Edited: 08/04/09

At a minimum the culminating letter or other written report must address the following:

- Teaching
- New course development
- Publications
- Funding
- Service
- Honors and awards
- Ph.D. advisees who graduated since the previous review and where they went after graduation

2.0 ANNUAL REVIEW OF PROBATIONARY FACULTY (EXCEPT FOURTH-YEAR REVIEW)

Revised: 07/26/04

Edited: 08/01/07

Positive decisions by the TIU head are final for colleges with or without units and regional campuses.

Unit heads must forward a copy of the reappointment letter to their college dean. In the case of regional campus faculty, the regional campus dean/director must also receive a copy of the reappointment letter.

Deans of colleges without units must forward a copy of the reappointment letter to OAA.

2.1 FOURTH-YEAR REVIEW OF PROBATIONARY FACULTY

Revised: 08/04/09

Edited: 08/04/09

All candidates for Fourth-Year Review must use OSU:pro to upload and format their core dossiers.

2.1.1 TIMING

Revised: 08/04/09

Edited: 08/04/09

The Fourth-Year Review takes place for most probationary faculty in the actual fourth year of service as an assistant professor at Ohio State. There is no such thing as an "early" Fourth-Year Review.

A TIU may not designate a review conducted in any year other than the actual fourth year as a "Fourth-Year Review," except in the circumstances stated below:

- Formally approved prior service credit (see Volume 1, Chapter 5, Section 2.1.2): The years of prior service credit are added to the years of Ohio State service to determine when the Fourth-Year Review will occur.
- Exclusion of time from the probationary period under Faculty Rule 3335-6-03 prior to the actual fourth year of service (see Section 5.0 of this chapter): The Fourth-Year Review is postponed by each year excluded from the tenure clock. If the Fourth-Year Review has already taken place when an exclusion of time is granted, it is not repeated.
- Extended probationary period (up to 9 years depending on FTE) due to a part-time appointment: The Fourth-Year Review may be postponed beyond the actual fourth year of service, but must occur at least two calendar years prior to the mandatory P&T review year.

Failure of a unit to conduct a mandatory Fourth-Year Review will result in a required exclusion of time from the probationary period and must be reported as part of the college's annual update to the provost.

2.1.2 APPROVAL LEVELS

Revised: 05/01/08

Edited: 05/01/08

Reappointment after the Fourth-Year Review in colleges without units requires approval by both the dean and OAA, which makes the final decision on reappointment.

Submit one copy of the dossier to OAA for university-level review.

The procedures are identical to sixth year (mandatory) tenure review with one exception, external evaluations are optional.

Reappointment of Columbus campus faculty after the Fourth-Year Review in colleges with units requires approval by the TIU head and the college dean, who makes the final decision on reappointment.

Do not submit positive Fourth-Year Review results or dossiers to OAA.

Procedures are identical to Sixth-Year (mandatory) tenure review with two exceptions.

- External evaluations are optional. Departments must treat all such cases consistently. Department APT documents must indicate whether or not the department will require external evaluations.
- Review by the college P&T committee is optional when the TIU head and the dean agree on a positive decision to reappoint. Colleges must treat all such cases consistently. College APT documents must indicate how the college will proceed in such cases.

Reappointment of regional campus faculty after the Fourth-Year Review in colleges with units requires approval by the TIU head, regional campus dean/director, and the college dean, who makes the final decision on reappointment.

2.1.3 COMMENTS PROCESS

Revised: 07/26/04

Edited: 08/01/07

The comments process for the Fourth-Year Review is identical to that for the Sixth-Year (mandatory) tenure review. Promptly after a decision is reached on the first and the second level of review respectively, the candidate is informed in writing that the following material is available and the comments process begins. The 10-day deadline, one round at each level, must be observed.

The Fourth-Year Review differs at the second level from the comments process of the Sixth-Year (mandatory) tenure review in that the material on which the candidate is asked to comment is the college committee's letter, if the committee reviewed the case, and the dean's letter to the TIU head reporting the college level outcome, since the dean does not write to the provost.

2.1.4 NONRENEWAL

Revised: 07/26/04

Edited: 08/01/07

In the case of a TIU head recommending nonrenewal of a probationary appointment, subject to the relevant standards of notice per Faculty Rule 3335-6-08, the review must follow Fourth-Year Review procedures.

In colleges without units, a recommendation to terminate a probationary member's appointment requires the approval of both the college and OAA, which makes the final decision.

In colleges with units, a recommendation to terminate a probationary faculty member's appointment requires the approval of both the TIU and the college, who makes the final decision.

In the case of a regional campus faculty member, a recommendation to terminate a probationary faculty member's appointment requires the approval of the regional campus dean, the TIU head, and the college dean, who makes the final decision.

The Nonrenewal of Probationary Appointment or Denial of Tenure form must be submitted to OAA, along with a copy of the nonrenewal letter sent to the faculty member, by June 1 of the year in which the nonrenewal decision occurs.

Nonrenewal usually precludes rehiring the individual (see Volume 1, Chapter 3, Section 8.0).

2.1.5 WITHDRAWING FROM OR DECLINING A REVIEW

Revised: 07/26/04

Edited: 08/01/07

Faculty members who withdraw from or decline to participate in a mandatory review in any probationary year are subject to the relevant standards of notice per Faculty Rule 3335-6-08. The decision to terminate a review must be accompanied by a letter of resignation from the faculty member to the TIU head (or regional campus dean) stating the following:

- last day of employment (no later than June 30 of the year following the review year)
- acknowledgement that the decision to terminate (withdraw from or decline participation in) the review is irrevocable

This action requires that the Nonrenewal of Probationary Appointment or Denial of Tenure form be submitted to OAA, along with a copy of the faculty member's letter, by June 1 of the year in which the decision to terminate the review occurs.

OAA must keep accurate records of such actions since this decision, like nonrenewal, usually precludes rehiring the individual (see Volume 1, Chapter 3, Section 8.0).

2.1.6 SUBMISSION DEADLINES

Revised: 07/26/04

Edited: 08/01/07

All Fourth-Year Reviews and any annual reviews with a nonrenewal recommendation by the deans of colleges without units or the director of libraries are due to OAA in winter quarter on the same date when P&T cases are due (see Volume 3).

The deans of colleges with units may establish due dates for receipt of these reviews in the college office.

3.0 REGULAR CLINICAL TRACK AND REGULAR RESEARCH TRACK FACULTY

Revised: 07/26/04

Edited: 08/01/07

The initial contract of all RCT and all RRT faculty is probationary regardless of academic rank at hire. The duration of the initial contract defines the length of the probationary period.

RCT faculty may have three- to five-year contracts.

RRT faculty may have one- to five-year contracts.

The full text of terms and conditions of RCT faculty appointments is stated in Faculty Rule 3335-7.

3.1 ANNUAL REVIEW OF PROBATIONARY FACULTY

Revised: 07/26/04

Edited: 08/01/07

3.1.1 APPROVALS

Revised: 07/26/04

Edited: 08/01/07

Positive decisions by the TIU head are final for both colleges with or without units.

Unit heads must forward a copy of the reappointment letter to their college dean; however, positive reappointment letters to another probationary year are not copied to OAA, regardless of whether they originate in a college with or without units.

3.1.2 NONRENEWALS

Revised: 07/26/04

Edited: 08/01/07

In colleges both with and without departments, a decision by the dean not to renew a RCT or a RRT faculty member's contract is final.

The Nonrenewal of Probationary Appointment or Denial of Tenure form must be submitted to OAA, along with a copy of the nonrenewal letter sent to the faculty member, by June 1 of the year in which the nonrenewal decision occurs.

3.1.3 CONTRACT RENEWAL

Revised: 07/26/04

Edited: 08/01/07

There is no presumption of reappointment at the end of a given contract period. No later than the beginning of a faculty member's penultimate contract year, a determination should be made as to whether the position (regardless of who fills it) will continue.

If the position will continue, the faculty member must undergo formal review in the penultimate contract year so that the unit may determine whether it is appropriate to renew that individual's contract to fill that position.

The review will follow the same procedures as a review for promotion in rank. The information below pertains solely to reporting review outcomes.

If the position will not continue, the faculty member should be so informed, subject to the relevant standards of notice set forth in Faculty Rule 3335-6-08. In this situation, a review is not appropriate.

3.1.4 APPROVALS

Revised: 07/26/04

Edited: 08/01/07

In colleges both with and without departments, a decision by the dean to reappoint RCT and RRT faculty members to a new contract term is final. Positive decisions to reappoint RCT and RRT Faculty to a new contract term will be approved by OAA without review, and forwarded to the Board of Trustees for final approval. Upon approval by the BOT, the RCT or RRT faculty member is no longer probationary.

For each positive decision to reappoint to a new contract term, submit to OAA an original signed "cover sheet" (Record of Review for Promotion in Academic Rank/Tenure/Reappointment). Submit the form only. Do not submit CV, dossier, or a copy of the reappointment letter.

3.1.5 SUBMISSION DEADLINES

Revised: 07/26/04

Edited: 08/01/07

The dean may establish due dates for receipt of these reviews in the college office.

CHAPTER 4 APPEALS

1.0 PROMOTION AND TENURE APPEALS

Revised: 07/26/04

Edited: 08/01/07

Only the candidate may appeal a negative tenure or promotion decision.

Unsolicited commentary by colleagues, students, or others on behalf of a candidate will not be considered at any time during the P&T review process and will not influence the course of an appeal.

TIU heads, deans, and the provost will normally not discuss a P&T decision with individuals not party to the decision-making process.

Members of faculty review bodies and administrators are required to exercise professional judgment in considering the evidence material to making a fair determination in a promotion or tenure case. Differences in or disagreements with professional judgments do not provide a valid basis for appealing a negative P&T decision.

Favorable annual reviews are not a basis for appealing a negative P&T decision. A favorable annual review during the probationary period serves as the basis for a positive annual reappointment decision but does not imply a commitment to grant tenure. The review for tenure entails a much weightier decision than the annual review and entails assessment of both cumulative performance and promise for the future. Performance that is adequate for annual reappointment may not be adequate for the granting of tenure (see Faculty Rule 3335-6-05).

1.1 ALLEGATION OF IMPROPER EVALUATION

Revised: 07/26/04

Edited: 08/01/07

The primary basis for an appeal of a negative P&T decision is improper evaluation. Faculty members who believe they have been evaluated improperly may appeal a negative decision. Improper evaluation includes violations of written procedures that could reasonably have affected the outcome of a review and failure to consider evidence material to a fair determination.

A formal appeal cannot begin until the provost has rendered a decision. However, a candidate may occasionally raise issues about the review process during the review, through the comments process provided for in Faculty Rule 3335-6-04. When appropriate, these issues should be addressed at the time they are raised. The chair may wish to consult with the dean and/or OAA regarding the best ways to address a particular issue.

An appeal alleging improper evaluation is reviewed in accord with procedures described in Faculty Rule 3335-5-05.

Within 30 days of the date of the letter from either the TIU head or dean informing the faculty member of the provost's negative decision, the faculty member is required to send a written complaint describing the alleged improper evaluation to the chair of the Committee on Academic Freedom and Responsibilities (CAFR), copied to the provost, and should follow up with a phone conversation with the chair of CAFR regarding the complaint and next steps.

The faculty member should promptly inform the chair of CAFR and OAA if s/he decides not to pursue the appeal.

1.2 ALLEGATION OF DISCRIMINATION

Revised: 07/26/04

Edited: 08/01/07

An appeal may also be based on the allegation of discrimination. Such an appeal would focus on discrimination based on protected status (see OHR Policy 1.10). A complaint alleging discrimination should be presented in writing to the Director of Consulting Services in OHR, with a copy to the provost, within 30 days of the date of the letter from either the TIU head or dean informing the faculty member of the provost's negative decision.

1.3 SEVENTH-YEAR REVIEWS

Revised: 07/26/04

Edited: 08/01/07

In rare instances, a TIU may petition the dean to conduct a Seventh-Year Review for an assistant professor who has been denied promotion and tenure (see Faculty Rule 3335-6-05(B)).

2.0 FACULTY SALARY EQUITY APPEALS PROCESS

Revised: 03/25/04

Edited: 08/04/09

Also see Volume 1, Chapter 1, Section 3.8.

Given the importance of salary to individuals, the fact that funds for salaries are limited, and the fact that in allocating those funds, decision makers must make choices that benefit some more than others, some degree of salary dissatisfaction is unavoidable. Eliminating that dissatisfaction is impossible. However, varying salary levels among individuals should be consistent with differences in the factors that appropriately affect salary.

This appeals process is intended to address only salary appeals that are based on the appellant's belief that his/her salary is lower than comparable faculty within his/her academic unit and that the salary disparity cannot be explained by factors that appropriately affect salary levels.

Subject to OAA approval, department, school, college, and regional campus patterns of administration may contain additional policies pertinent to this process.

2.1 ELIGIBILITY

Revised: 03/25/04

Edited: 08/01/07

Faculty who meet all of the following criteria may use this process if:

- they are regular faculty members
- they do not receive part of their OSU compensation from a health care practice plan
- their salary is 5% or more below the average salary of all other faculty of the same rank in their academic unit or in a recognized discipline or subdiscipline with a distinct salary market within their academic unit (TIU for Columbus faculty; regional campus for regional campus faculty). There must be at least two such

faculty, in addition to the appellant, for these procedures to apply. Further, these faculty members must allege that the salary disparity cannot be accounted for by:

- differences in years of service and years in rank
- productivity in teaching, research, and service
- centrality of the person's work to the academic unit
- past/present administrative duties
- market factors
- other factors set forth as legitimate bases for salary determination in the faculty member's academic unit APT document or POA or otherwise consistently communicated and applied in hiring and merit salary increase decisions
- three full academic years have passed since a final decision was rendered on a faculty member's previous appeal under this process. For example, if a faculty member uses this process during the academic year 2007-08 and a final decision is rendered in that time period, s/he may not use the process again until the 2012-13 academic year.

This process is not intended to address all bases of dissatisfaction with salary. Faculty with salary concerns who are not eligible for review under this process may seek information about and resolution to their concerns through discussion with the head of their academic unit.

2.2 PARTIES TO THE APPEAL PROCESS

Revised: 03/25/04

Edited: 08/01/07

2.2.1 ACADEMIC UNIT HEAD

Revised: 03/25/04

Edited: 08/01/07

For purposes of this process, the academic unit head is the head of the TIU, be that a department, school, or college except in the case of regional campus faculty. The academic unit head for regional campus faculty is the regional campus dean-director.

2.2.2 DEAN/DEAN-DIRECTOR

Revised: 03/25/04

Edited: 08/01/07

The dean of a college, the director of University Libraries, or the dean-director of a regional campus.

2.2.3 COLLEGE FACULTY SALARY APPEALS COMMITTEE

Revised: 08/01/07

Edited: 08/01/07

There will be a faculty salary appeals committee at the college level (whether or not the college is a TIU). The committee may exist solely for the purpose of reviewing salary appeals under this process or may be an existing committee (the P&T committee or college investigation committee).

Because a two-level review process (department and college) is not possible for the nine colleges (including the University Libraries and the John Glenn School of Public Policy) that serve as TIUs, and the academic unit head and dean are the same person in these units, a slight modification of the college faculty salary appeals committee is possible. In these units, the faculty member may select, if s/he wishes, an additional faculty member to serve on the college committee. This faculty member must be a full-time tenured faculty member from within the college of the appellant and may not be a member of the comparison group.

2.2.4 REGIONAL CAMPUS FACULTY SALARY APPEALS COMMITTEE

Revised: 03/25/04

Edited: 08/01/07

There will be a faculty salary appeals committee for the regional campuses which shall consist of one faculty member from each regional campus appointed by the dean of that campus. Terms of members shall be four years and initially will be staggered (one year for Lima, two for Mansfield, three for Marion, and four for Newark) to assure continuity of membership. The chair of the committee shall rotate among the campuses in the order of Lima, Mansfield, Marion, and Newark. Reappointment to the committee is possible.

2.3 TIME FRAME FOR APPEAL

Revised: 03/25/04

Edited: 08/01/07

Appeals under these procedures must be initiated no later than October 31 in order to facilitate completion of the review before salary recommendations are made for the next academic year. Every reasonable effort must be made by the parties to the review process to complete consideration of a salary appeal by mid-April of the academic year.

In the event it is not possible to conclude review of an appeal in this time frame, the administrator who makes salary recommendations for the appellant will carry out that role as usual. It will usually be necessary to update appeal materials following the annual raise process since both academic records and salaries included in the original appeal materials will no longer be current.

2.4 COLLEGE AND REGIONAL CAMPUS SALARY APPEALS POLICIES

Revised: 03/25/04

Edited: 08/01/07

A college (whether it has units or not) or regional campus POA may establish college-wide or regional campus policies for the documentation of salary appeals under this process if the college or regional campus wishes to have such policies. College and regional campus salary appeals policies must be approved by OAA before they are implemented. Colleges and regional campuses may amend these policies as needed subject to approval of OAA.

2.5 DEPARTMENT SALARY APPEALS PROCESS

Revised: 03/25/04

Edited: 08/01/07

Except where college-wide standards for documentation of appeals are established, individual department POAs may establish written policies for the documentation of salary appeals under these procedures if departments wish to have such policies. These policies must be approved by the college office and OAA before they can be implemented. Units may amend these policies as needed subject to the required approvals.

2.6 APPELLANT RESPONSIBILITIES

Revised: 03/25/04

Edited: 08/01/07

The faculty member using this process bears full responsibility for documenting the appeal.

Documentation must be consistent with any department and college or regional campus written requirements as well as with the eligibility requirements set forth in Section 2.1 of this chapter. Unless department, college, or regional campus POAs specify otherwise, this documentation must consist of a detailed analysis of the appellant's academic record and salary relative to faculty in the comparison group taking into account years of service, years in rank, and other factors that affect salary as noted in Section 2.1 of this chapter. CVs of comparators and salary information are public records and can be requested from the academic unit office.

Unless unit, college, or regional campus POAs specify otherwise, the comparison group must include all other faculty of the same rank in the academic unit (excluding the academic unit head). When an academic unit contains distinct and recognized disciplines or subdisciplines which have different salary markets, the comparison group will

be limited to all other faculty of the same rank in appellant's discipline or subdiscipline within the academic unit (excluding the academic unit head).

As noted in Section 2.1 of this chapter, at least two comparators that meet these requirements must exist for this process to be applicable.

The faculty member may, but is not required to, initially present his/her documentation to the chair of the college or regional campus faculty salary appeals committee for informal advice as to whether the appeal, as set forth, appears to meet the eligibility and documentation requirements set forth in this document and in any written academic unit and college salary appeals documents.

The faculty member may then determine whether to proceed with a salary appeal. The salary appeals committee chair shall not express an opinion as to whether the appeal has merit since that judgment cannot be made based only on the appellant's perspective.

The faculty member may appeal to the college or regional campus faculty salary appeals committee if the academic unit head dismisses the appeal or proposes a resolution that is judged to be unsatisfactory by the faculty member.

2.7 ACADEMIC HEAD RESPONSIBILITIES

Revised: 03/25/04

Edited: 08/01/07

On receipt of documentation alleging salary inequity from a faculty member, the academic unit head shall review the documentation. The academic unit head may request additional information from the faculty member and/or meet with the faculty member as appropriate.

The academic unit head may dismiss the appeal or propose a salary adjustment (see Section 2.10 of this chapter for required approvals for salary adjustments). Salary adjustments should not be communicated to affected faculty until the required approvals have been obtained.

The academic unit head will respond in writing to the appeal. The response may provide additional analysis, as deemed necessary, and must provide a rationale for the conclusions. Final written notice of the disposition of the appeal should either be hand delivered to the appellant or sent by certified mail.

If the academic unit is a TIU within a college, forward to the college office a copy of all written material generated by the appeal for record keeping purposes.

2.8 COLLEGE OR REGIONAL CAMPUS FACULTY SALARY APPEALS COMMITTEE RESPONSIBILITIES

Revised: 03/25/04

Edited: 08/01/07

On receipt of an appeal from a faculty member who is dissatisfied with the academic unit head's disposition of that appeal the college or regional campus faculty salary review committee will review the documentation submitted by the faculty member and the written conclusions of the academic unit head in light of the unit's salary criteria.

While the committee may, on occasion, request additional information from either the academic unit head or appellant, and/or meet with parties to the complaint, its review should be based primarily on the appellant's documentation and the academic unit head's response to that documentation. The committee does not develop new documentation. An inadequately documented appeal should be dismissed.

The college or regional campus faculty salary appeals committee may make a recommendation to the dean or dean-director regarding:

- whether a salary adjustment for the appellant is or is not warranted
- an explanation of its conclusions

- if an adjustment is warranted, its approximate amount

The committee's recommendation to the dean or dean-director is advisory.

2.9 DEAN OR DEAN/DIRECTOR RESPONSIBILITIES

Revised: 03/25/04

Edited: 08/01/07

On receipt of a recommendation from the college or regional campus faculty committee the dean or dean/director will accept, amend, or reject the faculty committee's recommendation. If the dean/dean-director determines that a salary adjustment shall be made, the dean/dean-director shall determine the amount and the timing of that increase (see Section 2.10 of this chapter).

The dean or dean/director will communicate the final decision to the appellant and to the appellant's academic unit head if that person is different from the dean/dean-director. The dean/dean-director will also communicate to the faculty salary appeals committee the final action taken on a complaint and, if the action differs from the faculty committee's recommendation, the reason for that action.

The dean or dean/director will maintain in the college or regional campus office a record of all appeals, including those dismissed by the academic unit head and not appealed to the college or regional campus faculty committee. Each record should include all written materials developed for and generated by the appeal.

2.10 SALARY EQUITY ADJUSTMENTS PROPOSED UNDER THESE PROCEDURES

Revised: 03/25/04

Edited: 08/01/07

Salary equity adjustments proposed as a result of using these procedures should be funded from annual raise monies available during the annual raise cycle to the extent possible. A proposal to provide an equity salary increase from other academic unit funds, regardless of the proposed timing of the increase, requires the approval of the dean (in colleges with units) and OAA.

2.11 DECISIONS THAT CANNOT BE APPEALED

Revised: 03/25/04

Edited: 08/01/07

A decision is final under these procedures and cannot be appealed when the academic unit head's written conclusions regarding the matter are not appealed to the college or regional campus faculty salary appeals committee within 30 days of the date of the academic unit head's letter to the appellant reporting conclusions; when the dean/dean-director accepts a recommendation of the college or regional campus faculty salary committee to dismiss an appeal; or when the dean/dean-director accepts a recommendation of the college or regional campus faculty salary committee to provide a salary adjustment and offers an adjustment that is at least 75% of the amount recommended by the committee.

2.12 DECISIONS THAT CAN BE APPEALED

Revised: 03/25/04

Edited: 08/01/07

If the dean or dean-director dismisses an appeal that was not dismissed by the faculty committee, or proposes a salary adjustment that is less than 75% of the amount recommended by the faculty committee, the appellant may appeal to the provost. The provost or designee will review the matter and render a final decision.

3.0 COMPLAINTS AGAINST REGULAR TENURE TRACK, REGULAR CLINICAL, REGULAR RESEARCH, OR AUXILIARY FACULTY MEMBERS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-5-04 establishes the procedures for formal complaints against RTT, RCT, RRT, and auxiliary faculty members. This rule also applies to administrators who hold faculty appointments.

CHAPTER 5 CONFLICTS OF COMMITMENT AND INTEREST

1.0 CONFLICT OF COMMITMENT POLICY

Revised: 08/01/07

Edited: 08/01/07

The Senate Conflict of Commitment Policy, approved by the Board of Trustees in August 2005 can be found at <http://oaa.osu.edu/SenatePolicies.php>. This policy applies to all faculty members at Ohio State.

2.0 FINANCIAL CONFLICT OF INTEREST POLICY FOR FACULTY

Revised: 08/01/07

Edited: 08/01/07

The Senate Financial Conflict of Interest Policy, approved by the Board of Trustees in July 1998 and revised by Senate and Board action in 2007 can be found at <http://oaa.osu.edu/SenatePolicies.php>. This policy applies to all faculty members at Ohio State.

2.1 IMPLEMENTATION PROCEDURES

Revised: 02/01/99

Edited: 08/01/07

The executive vice president and provost (provost) will be responsible for administering the Financial Conflict of Interest Policy. The provost may designate a vice provost to perform his/her responsibilities under the policy.

The provost will appoint a conflict of interest administrator in consultation with the senior vice president for research. The conflict of interest administrator will provide staff support for implementation of the policy. With the approval of the provost, and in consultation with the Conflicts of Interest Policy Advisory Committee (COIAC), the conflict of interest administrator will design forms and procedures for the reporting of potential conflicts of interest. The administrator will also assist faculty and other university employees in identifying, managing or eliminating conflicts of interest and will periodically inform the university community about the policy and other issues relating to conflicts of interest.

The general counsel will designate a conflicts of interest legal advisor who will assist the provost, the COIAC, and the conflict of interest administrator with respect to the requirements of state and federal law and university rules. Counsel represents the university and not the individual faculty member. Joint representation can be provided where warranted if there is no conflict of interest or the conflict is waived in writing by both parties after full disclosure. Further, faculty members have the right to have their own (private) attorney.

The senior vice president for research will be responsible for providing reports to outside funding agencies as may be required by federal regulations or the terms of sponsored research agreements.

2.1.1 REPORTING REQUIREMENTS

Revised: 08/04/09

Edited: 08/04/09

Conflict of Interest Screening/Disclosure Forms (found at the Office of Research Compliance website, <http://orc.osu.edu/coi/forms.cfm>) must be filed by the following persons, (hereinafter referred to as the "filing parties"):

- all regular faculty engaged in teaching and/or research activities

- all part-time, clinical, research, auxiliary or emeritus faculty who have a role in the design, conduct, or reporting of research **including research with animal or human subjects**
- staff members and students who have a role in the design, conduct, or reporting of research **including research with animal or human subjects**
- principal administrative officials designated by the senior vice president for research as having a significant role in supervision of research
- the financial interests of spouses, domestic partners, and minor dependents are also considered those of the faculty members, staff, or students themselves, and must be reported

Financial conflict of interest disclosures must be filed annually (the electronic application is available at <https://rf.osu.edu/secure/e-coi>). Updates must be made to the disclosure if the filing party engages in consulting activities or business or financial transactions that were previously unreported or if significant changes occur in the circumstances of a previously reported transaction or activity.

Faculty financial conflict of interest disclosures must be reviewed by their department chair or with their regional campus dean. For regional campus faculty, the dean fulfills the responsibilities of the department chair noted elsewhere in these procedures.

Staff and student financial conflict of interest disclosures must be reviewed by the chair of their department or appropriate supervisory official (in the case where the filing party is not a member of an academic department), who shall perform the duties of a department chair under these procedures, **in cases where a potential conflict is disclosed**. Disclosures filed electronically will be automatically routed to the appropriate signatory.

2.1.1.1 DEFINITIONS

Revised: 08/04/09

Edited: 08/04/09

Conflict of Interest Advisory Committee (COIAC): standing faculty committee created under the Faculty Conflict of Interest Policy.

Externally funded research: research funded by a public or private entity separate from the university through a gift, grant, award, contract, cooperative agreement or similar arrangement and administered through the university or OSURF.

Fiduciary role: a legal or ethical obligation on the part of an individual to act in the best interests (the financial success) of another, such as membership on a board of directors or a management role in a company or partnership.

Human subjects research: **Human subject research means any activity that either**

- **meets the Department of Health and Human Services (DHHS) definition of “research” and involves “human subjects” as defined by DHHS**
- **meets the Food and Drug Administration (FDA) definition of “research” and involves “human subjects” as defined by FDA**

Research or conducting research: any organized program of scientific inquiry, including designing research, directing or serving as an investigator performing laboratory experiments, having a role in soliciting consent from research subjects or making decisions related to eligibility of patients to participate in research, analyzing or reporting research data, or submitting manuscripts or abstracts concerning the research for publication. Specific examples include projects for which outside support is requested and projects for which approval of an IRB is required. The determination of what constitutes research and what constitutes the conduct of research will be made by COIAC.

Significant financial interests:

- fees, honoraria, gifts, other payments, or “in-kind” compensation from a research sponsor or financially interested company, whether for consulting, lecturing, or any other purpose, that in aggregate exceeds \$10,000 in a given twelve-month period

- an equity interest of any amount, including stock, stock options, warrants, or other ownership interest in a non-publicly traded sponsor or financially interested company
- an equity interest, including stock, stock options, warrants, or other ownership interests in a publicly traded sponsor or financially interested company that exceeds \$10,000 in value as determined through reference to current prices or 5% of the company's stock or other ownership interests; (Should the value of the equity interest increase to more than \$10,000 during the conduct of the research project, the individual must notify the conflict of interest administrator.) this does not apply to diversified mutual funds in which the shareholder has no control over the equities held by the fund
- royalty income or the right to receive future royalties from commercialization of research results, including entitlement to any "milestone" payments conditioned upon specified research-related dates or events, whether such payments are received from a research sponsor, a financially interested company, the university, or via technologies licensed by the university (Institutional intellectual property that results in royalty interests arising from post-marketing sales of approved products are an example of a financial interest that promote translational research and may be amendable to successful management. To encourage the development of new products, the Bayh-Dole Act obligates institutions to attempt to commercialize inventions resulting from federally funded research and to distribute a portion of the royalty income from marketed products to inventors. This public policy objective of the act and the eventual recognition of value of the innovation to the public may, in the judgment of the COIAC, constitute compelling justification to permit a potential future financial interest concurrent with human subject research, subject to appropriate and extensive management conditions. The foregoing may not be interpreted so as to eliminate reporting obligations, limit COIAC's ability to restrict or prohibit these arrangements, or determine what constitutes a compelling justification.)
- any non-royalty payments or entitlements to payments in connection with the research that are not directly related to the reasonable costs of the research (as specified in the applicable research agreement, including any bonus or milestone payments to the investigators in excess of reasonable costs incurred, whether such payments are received from a financially interested company or from the university)
- service as an officer, director, or in any other fiduciary role for a research sponsor or financially interested company, whether or not remuneration is received for such service (A researcher's time-limited service as an officer or director of a company approved to commercialize university inventions may be treated analogously to royalty interests arising from post-marketing sales of approved products.)
- royalty income and the right to receive future royalties as a result of traditional academic publishing activity, such as the publication of textbooks, are excluded
- proprietary interest including, but not limited to, a patent, trademark, copyright, or licensing agreement
- any of the above listed compensation or ownership interest whose value could be affected by the outcome of the research

Sponsor or financially interested company: a commercial entity, or in certain cases, a not-for-profit entity that is sponsoring research to commercialize a product, whose financial interests would reasonably appear to be affected by the conduct or outcome of the research, including commercial companies that directly sponsor research, companies that hold patent rights for discoveries, drugs, or devices being studied in research protocols, or companies that provide financial or "in-kind" support for research projects. A financially interested company may also include a company that competes with the sponsor of the research or the manufacturer of the investigational product, if the researcher knows that the financial interests of such a company would reasonably appear to be affected by the research. This term also includes any entity acting as the agent of a sponsor or financially interested company such as a contract research organization.

2.1.2 Review of conflicts of interest

Revised: 11/08/07

Edited: 11/08/07

Chairs will review conflict of interest disclosures within 15 days of receipt. Disclosures reviewed through the electronic application will automatically be forwarded to the conflict of interest administrator. If the conflict of interest administrator determines that a transaction or activity presents a potential conflict of interest, s/he will forward to COIAC for review. Disclosures and documentation of plans to minimize or manage possible conflicts of interest will be maintained in the office of the conflict of interest administrator.

COIAC reviews information related to all significant personal financial interests related to faculty, staff, and student research activities. In completing its review, COIAC will consider the potential impact of the financial interests on the following:

- integrity of the research
- risks to the rights and safety of human research subjects
- risks to the rights and obligations of students and trainees participating in research
- the availability of research results to the scientific community for use in the public interest
- appearance of a conflict of interest
- perception to the university community (In agreements and contracts related to the arrangements under review by COIAC, the university will require terms that ensure the freedom of timely academic publication, uphold the rights and responsibilities of students and trainees, and ensure appropriate reporting of inventions and assignment of intellectual property rights.)

2.1.3 DETERMINATION AND MANAGEMENT OF CONFLICTS OF INTEREST

Revised: 11/08/07

Edited: 11/08/07

Upon completing its review, COIAC will recommend that the personal financial interests of the individual in a research sponsor or other financially interested company are either eliminated or permitted, subject to the development of a formal conflict management plan. COIAC will render a final decision and will communicate that decision, along with the recommended management plan to the involved individual in writing.

2.1.3.1 CONFLICT OF INTEREST MANAGEMENT PLANS

Revised: 11/08/07

Edited: 11/08/07

Conflict of interest management plans may include one or more of the following requirements:

- **Disclosure:** public disclosure of potential financial conflicts of interest is required in all management plans and includes the following:
 - public disclosure of the financial interests of the investigator and of the university, if applicable, in all relevant publications, presentations (whether or not academic), including presentations at the level of the individual's primary department or higher
 - disclosure to the appropriate co-investigators, members of the laboratory or research group, and students or trainees
 - disclosure of an investigator's financial interest on human subject consent forms
- **Restriction on equity:** requirements that options, warrants, and similar instruments not be exercised without prior permission of COIAC (Researchers should be aware that separate Securities and Exchange Commission and other state and federal regulations may apply to their ownership of such equity. Obtaining the necessary information and complying with such regulations is the responsibility of the individual researcher.)
- **Limiting the role of the investigator with a financial interest:** requiring that the role of the investigator with a significant financial interest be limited in some way; in research involving the use of human or animal subjects, investigators are generally not permitted to:
 - serve as principal investigator
 - analyze data
 - determine whether potential subjects are eligible for enrollment
 - solicit consent
 - determine whether an adverse event report is required
- **Oversight:** appointment of a disinterested individual or group to monitor the relevant research activity; an oversight committee might be charged with

- reviewing abstracts and manuscripts before they are submitted for publication to ensure that the research is conducted and reported according to scientific and ethical standards and that conflict of interest management measures are observed
- meeting at specific intervals to review protocols, subject accrual, subject safety and complications, review the resulting project data before publication, and other issues as appropriate

Oversight committees are required in all management plans involving human subject research where the principal investigator has a significant financial interest.

- Divestiture: allow arrangements to go forward contingent upon sale or disposal of specified financial interests to eliminate or reduce the financial conflict of interest by a certain date
- Severance of relationships that heighten or create actual or potential conflicts: relinquishing a seat on a board of directors or terminating a consulting arrangement with an outside entity in order to reduce the financial or fiduciary conflict of interest

COAIC may recommend other conditions or restrictions on the proposed arrangements if, in its view, such conditions will contribute to the elimination, reduction, or management of the conflict of interest.

For conflict of interest management plans involving human subject research, COIAC will make a recommendation to the IRB.

2.1.4 REVIEW AND MANAGEMENT OF CONFLICTS OF INTEREST IN HUMAN SUBJECT RESEARCH

Revised: 11/08/07

Edited: 11/08/07

In preparing this section, the university acknowledges the document titled “Preserving Trust, Promoting Progress: Guidelines for Developing and Implementing a Policy Concerning Individual Financial Interests in Human Subjects Research,” issued in December 2001 by the Association of American Medical Colleges.

Financial interests in human subject research require special scrutiny. Such interests may present real or perceived risks to the welfare and rights of human subjects, in addition to presenting risks to research integrity.

The university presumes that faculty, staff, trainees, and students may not participate in greater than minimal risk research projects involving human subjects (as determined by the IRB) while they have a significant financial interest in the research project or in a financially interested company. Limited exceptions may be made in specific cases when, in the judgment of COIAC, individuals holding significant conflicting financial interests provide COIAC with a compelling justification (s/he is the only researcher at the university who possesses the expertise, know-how, or the necessary technical or procedural skills) in writing for being permitted to simultaneously hold the financial interest and participate in the human subjects research project.

2.1.4.1 REVIEW, DETERMINATION, AND MANAGEMENT

Revised: 11/08/07

Edited: 08/04/09

COIAC will review reports of all significant financial interests in proposed human subject research projects. Information concerning a faculty, staff, or student’s relationship to the outside sponsor will be communicated in writing to the appropriate **convened** IRB, including the proposed management plan. To ensure the primacy of the welfare and rights of the human subjects, the **convened** IRB will have the full and final authority for implementing the decision concerning the role of the concerned individual in the human subject research protocol. Accordingly, the **convened** IRB will communicate its decision concerning participation in the human subject research protocol to the investigator and will provide a copy of that communication to COIAC.

If the Office of Responsible Research Practices deems a specific research project involving human subjects to be exempt from IRB review, the conflict of interest issues associated with that project will remain subject to COIAC review and COIAC will review the project as if it were “human subject research” for the purposes of this section.

COIAC’s recommendation may involve either prohibition or management.

- **Prohibition:** If, upon reviewing specific information provided by the investigator with the relevant financial interest, COIAC believes that a conflict of interest is incompatible with human subject research, it will recommend to the appropriate IRB that the involved investigator be required to eliminate the relevant financial interest before beginning the project or be barred from participating in the research.
- **Management:** In a limited number of cases involving significant financial interests, if COIAC concludes that the justification provided by the investigator is sufficiently compelling and that the conflict of interest can be managed, it will recommend specific project-related management measures to the appropriate IRB.

In all cases involving human subject research where a research consent form is required and in which an involved investigator has a relevant financial interest of any magnitude, a financial disclosure statement including the name of the financially interested individual and description of the source and nature of the relevant financial interests must be included in the consent form.

Additional project-related management measures may include prohibiting the investigator from one or more of the following:

- serving as principal investigator
- analyzing data
- determining whether potential subjects are eligible for enrollment
- soliciting consent
- determining whether an adverse event report is required

COIAC's recommendation, accompanied by a description of the nature and magnitude of the potential conflict of interest, will be communicated in writing to the appropriate IRB. The IRB, which is responsible for ensuring the ethical acceptability of the research, will evaluate the recommendations of COIAC and decide whether to:

- accept the recommendations
- accept the recommendations with additional management measures prescribed by the IRB
- conclude that the human subject research cannot proceed

COIAC will communicate its determination to the investigator in writing. Upon concluding its evaluation, the IRB will inform COIAC of its determination, but the IRB's decision is final.

2.1.5 LEGAL OBLIGATIONS

Revised: 11/08/07

Edited: 11/08/07

Investigators should be aware that financial interests in companies may result in personal or institutional obligations under various federal or state laws.

2.1.5.1 PUBLIC HEALTH SERVICE (PHS)/NATIONAL SCIENCE FOUNDATION (NSF)

Revised: 11/08/07

Edited: 11/08/07

Individuals who seek research funding from either PHS (including NIH) or NSF must comply with applicable regulations (Human Subjects Protection—45 CFR Part 46) to “ensure that the design, conduct, or reporting of research funded under PHS grants, cooperative agreements, or contracts will not be biased by any conflicting financial interest of those investigators responsible for research.” Under the regulation, investigators are required to disclose to an official designated by the university a listing of significant financial interests (and those by his/her spouse and dependent children) that would reasonably appear to be affected by the research proposed for funding by the PHS (“Objectivity in Research.” NIH. <http://grants.nih.gov/grants/guide/notice-files/not95-179.html>. July 14, 1995). Contact the Office of Research Compliance for a copy of the complete regulations.

2.1.5.2 U.S. FOOD AND DRUG ADMINISTRATION (FDA)

Revised: 11/08/07

Edited: 11/08/07

The FDA requires applicants, under various regulations (21 CFR Parts 54, 312, 314, 320, 330, 601, 807, 812, and 860), to submit to FDA a list of clinical investigators who conducted covered clinical studies and to certify the absence of and/or disclose the existence of certain financial arrangements (“Financial Disclosure by Clinical Investigators.” FDA. <http://www.fda.gov/oc/guidance/financialdis.html>. March 20, 2001).

In cases where an individual investigator holds an Investigational New Drug application (IND) for a study drug, or an Investigational Device Exemption (IDE), for an experimental study device, the investigator him/herself may be required to personally comply with the above FDA conflict of interest reporting requirements and should consult the FDA or legal counsel at the Office of Legal Affairs concerning applicable rules and regulations.

2.1.5.3 SECURITIES AND EXCHANGE COMMISSION (SEC)

Revised: 11/08/07

Edited: 11/08/07

The SEC enforces regulations concerning equity ownership, including insider trading, which may affect investigators who hold equity in research sponsors. For additional information, investigators should seek advice from their personal legal counsel or the Office of Legal Affairs. It is the obligation of the financially interested individual to ensure that s/he complies with applicable SEC regulations.

2.1.5.4 OTHER SPONSORS

Revised: 11/08/07

Edited: 11/08/07

Outside sponsors may also have specific requirements regarding investigators who have personal interests with the sponsor. For more information, contact your sponsored program officer at OSURF.

2.1.6 APPEALS

Revised: 11/08/07

Edited: 11/07/07

If a researcher believes that a determination made by COIAC is not appropriate or is based on erroneous information, s/he may request reconsideration by COIAC by submitting a written request to the chair. If, after a second review by COIAC, the investigator still wishes to appeal COIAC’s decision, s/he may appear to the executive vice president and provost. The executive vice president and provost’s decision is final.

Investigators who believe that the conflict of interest management measures adopted by an IRB are not appropriate or are based on erroneous information must follow applicable IRB procedures for requesting additional review. Decisions made by the IRB are final.

2.1.7 SANCTIONS FOR FAILURE TO COMPLY

Revised: 11/08/07

Edited: 11/08/07

Failure by faculty to comply with the conflict of interest policy or with COIAC management plans will be subject to review by the executive vice president and provost. If the executive vice president and provost determines that a violation of university rules may have occurred, s/he may file a complaint against the faculty member pursuant to Faculty Rule 3335-5-04. Staff members who fail to comply with the staff policy on work outside the university or with COIAC recommended management plans will be subject to disciplinary actions by the Office of Human Resources.

CHAPTER 6 LEGAL MATTERS

1.0 ETHICS LAW, OHIO

Revised: 08/01/07

Edited: 08/01/07

The State of Ohio requires all university personnel, including faculty members, to adhere to the Ohio Ethics Law. Additional information can be found on the Office of Legal Affairs (OLA) website, www.legal.osu.edu/olaindex.php and on the Ohio Ethics Commission website, www.ethics.ohio.gov/OhioEthicsLaw.html.

2.0 FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA)

Revised: 08/01/07

Edited: 08/01/07

The Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, sets forth requirements designed to protect the privacy of student educational records. The law governs access to records maintained by educational institutions and the release of information from those records. The Ohio State Policy Concerning Privacy and Release of Student Educational Records can be found on the Registrar's website, www.ureg.ohio-state.edu/ourweb/more/Content/ferpa_pg1.html.

3.0 IMMUNITY, INDEMNIFICATION AND REPRESENTATION

Revised: 09/01/99

Edited: 08/01/07

Ohio law provides university employees with immunity from liability in law suits filed in state courts. Individuals seeking to recover damages for the wrongful acts of a university employee must file a state court law suit in the Ohio Court of Claims. The defendant in such a case is the university and employees cannot be named individually.

University employees may in some circumstances be named as individual defendants in law suits filed in federal courts. However, the university may provide legal representation and pay the amount of any judgment in these cases.

University employees must satisfy two conditions in order to obtain the benefit of the immunity in state courts and the indemnification in federal court cases:

- The actions of the employee giving rise to the law suit must be within the scope of the employee's duties.
- The employee cannot be found to have acted with malice, in bad faith, or with reckless disregard as to the consequences of his or her actions.

Further information concerning the legal liabilities of faculty members, including unit heads, may be obtained from OLA (www.legal.osu.edu/olaindex.php).

4.0 PERSONAL USE OF PUBLIC PROPERTY

Revised: 09/01/99

Edited: 08/01/07

Unauthorized use of university property for personal purposes is prohibited and could result in criminal charges. In certain limited circumstances, faculty members may use university property in connection with activities authorized under the Senate Policy on Paid External Consulting. However, faculty members must obtain prior approval from their TIU head and must reimburse the university for the fair market value of such use.

5.0 PUBLIC RECORDS

Revised: 07/26/04

Edited: 08/01/07

The Ohio Public Records Act defines a "record" as any document, device, or item, regardless of physical form or characteristic, created or received by, or coming under the jurisdiction of, any public office of the state or its

political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.

Such records shall be promptly prepared and made available for inspection to any persons at all reasonable times during regular business hours. Upon request, a person responsible for public records shall make copies available at cost, within a reasonable period of time.

An academic unit should have a single person responsible for dealing with public records requests and in most cases that person should be the unit head. The TIU head or other person responsible for handling such requests may wish to consult with OLA (www.legal.osu.edu/olaindex.php) before responding to a request.

The Act does not require that records be created in response to a request. If there is no record that corresponds to a request, then there is no record to be provided.

The Act allows public entities to charge reasonable costs for making copies. If a unit receives a request for copies of records that appears to justify cost recovery, it should seek the advice of the OLA.

The Ohio Revised Code requires public institutions and agencies to abide by the rules for the disposition of public records as established by the State Records Administrator. However, the law exempts public institutions of higher education from the State Records Administrator and authorizes them to establish their own programs of records retention and disposition.

At The Ohio State University, authority for matters of records retention and disposition is vested in the University Archives (www.library.osu.edu/sites/archives/). University Archives maintains a schedule governing the retention and disposition of records common to university units. University Archives also develops schedules for units in cases when they have records not listed on the General Schedule. These schedules are specific to units and are in conformity with *Records Retention for Public Colleges and Universities in Ohio: A Manual* (Columbus, Ohio: Inter-university Council of Ohio, 1992 and updates).

CHAPTER 7 SOURCES OF IMPORTANT INFORMATION

1.0 BOARD OF TRUSTEES

Revised: 08/01/07

Edited: 08/01/07

The Ohio State University is governed by a board of 17 trustees who are responsible for oversight of academic programs, budgets and general administration, and employment of faculty and staff.

The Governor of the State of Ohio appoints 15 members to 9-year terms and two non-voting student members to two-year terms.

Additional information can be found at the Board of Trustees (BOT) website, www.trustees.osu.edu/.

1.1 RULES OF THE UNIVERSITY FACULTY

Revised: 08/01/07

Edited: 08/01/07

According to the Bylaws of the University (3335-3-04), the legislative authority to establish educational and academic policies of the university is vested in the university faculty, subject to the approval of the BOT. In this connection, the university faculty shall have the authority, subject to the approval of the BOT, to adopt rules to effectuate the educational and academic policies of the university. It shall also act upon all matters of routine faculty business in pursuance of already established university policies and shall recommend to the BOT candidates for honorary degrees.

1.1.1 ORGANIZATION AND CONTENTS

Revised: 08/01/07

Edited: 08/01/07

The Rules of the University Faculty can be found at www.trustees.osu.edu/ChapIndex/index.php. These rules are divided into 11 Chapters.

- 3335-3 Administration
 - Organization of the university
 - Deans of colleges
 - Dean/directors of regional campuses
 - Chairs of departments
 - Directors of schools

- 3335-5 Faculty, governance, and committees
 - College, departmental/school, regional campus faculties
 - Faculty of the arts and sciences
 - Graduate faculty
 - Council on Research and Graduate Studies
 - University Senate

- 3335-6 Tenure track faculty appointments, reappointments, promotion & tenure

- 3335-7 Regular clinical track and regular research track faculty appointment, reappointment & nonreappointment, & promotion

- 3335-8 Instruction
 - Courses & curricula
 - university required courses
 - Examinations & marks
 - university year

- 3335-9 Attendance and graduation
 - Admission, registration & payment of fees
 - Absences
 - Warning & dismissal
 - Graduation

- 3335-11 Student Life
 - University discipline
 - Activities
 - The Ohio Union

- 3335-13 University property
 - Restrictions
 - Patent rights

- 3335-15 Miscellaneous provisions
 - Recommendations regarding amendment of rules
 - Regulations & bylaws

1.1.2 SECTIONS OF PARTICULAR INTEREST TO FACULTY

Revised: 08/01/07

Edited: 08/01/07

Sections of particular interest to faculty include the following:

3335-5-01 Academic freedom & responsibility

3335-5-19 Regular faculty tracks, auxiliary and emeritus faculty

3335-5-37 –

3335-5-48 University Senate

2.0 ACADEMIC MISCONDUCT, COMMITTEE ON AND CODE OF STUDENT CONDUCT

Revised: 08/01/07

Edited: 08/01/07

The Committee on Academic Misconduct (COAM) is charged with maintaining the academic integrity of The Ohio State University by establishing procedures for and investigating all reported cases of alleged academic misconduct by students. In those instances where a student is found to have violated the Code of Student Conduct, the committee determines a suitable disciplinary action. The Code of Student Conduct can be found on the BOT website, www.trustees.osu.edu/. More information on COAM, including resources that can be used in the classroom, can be found at the COAM website, www.oaa.osu.edu/coam/home.html.

3.0 ADVANCEMENT OF TEACHING, UNIVERSITY CENTER FOR THE

Revised: 08/01/07

Edited: 08/04/09

The University Center for the Advancement of Teaching (UCAT) provides information, consultation, and event coordination to support teaching. Additional information on UCAT, including the policy on GA preparation and ongoing support can be found on the UCAT website, www.ucat.osu.edu.

4.0 AMERICANS WITH DISABILITIES ACT COORDINATOR, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

The university's focal point for disability related initiatives is the Office of the Americans with Disabilities Act (ADA) Coordinator. More information, including policies and procedures on accommodation and accessibility, can be found at the Ohio State's ADA website, www.ada.osu.edu.

5.0 BUSINESS AND FINANCE, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

The Office of Business and Finance (B&F) attends to the business and finance operations of Ohio State including infrastructure and facilities maintenance services. Additional information, including policies on travel, procurement cards, and reporting and investigating financial fraud can be found on the B&F policies website, www.busfin.ohio-state.edu/expnditures/Index.htm.

6.0 CHIEF INFORMATION OFFICER, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

The Office of the Chief Information Officer (CIO) provide services to help Ohio State faculty, students and staff use technologies in learning, teaching, research, and administrative settings. More information, including policies on the deployment and use of wireless data networks, disclosure or exposure of personal information, payment for employee home and off-campus internet access, responsible use university computing and network resources, retention of electronic records, and the web can be found at CIO's website, www.cio.osu.edu.

7.0 COMMITMENT TO SUCCESS PROGRAM

Revised: 08/01/07

Edited: 08/01/07

The Commitment to Success Program supports the university's Diversity Action Plan by researching the impact and enhancement diversity has on both educational and work settings at Ohio State. More information on the Commitment to Success Program can be found on the website of the UCAT, www.ucat.osu.edu.

8.0 DISABILITY SERVICES, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

The Office of Disability Services (ODS) provides services, auxiliary aids, and accommodations for students at The Ohio State University with documented disabilities. ODS also assists faculty members in their responsibilities to ensure all students have access to classroom instruction. The ODS website, www.ods.ohio-state.edu/faculty.asp, includes a faculty handbook on teaching students with disabilities as well as a syllabus statement regarding disability.

9.0 ENVIRONMENTAL HEALTH AND SAFETY, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

The Office of Environmental Health and Safety (EHS) assists the university community in providing and maintaining a safe, healthful work environment including biosafety, environmental affairs, occupational health and safety education, radiation safety, research safety and emergency planning and business continuity. Additional information on these topics can be found at the EHS website, www.ehs.ohio-state.edu.

10.0 HUMAN RESOURCES, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

OHR provides human resource services to faculty and staff at Ohio State. These services include supporting recruitment and hiring, compensation and benefits programs, employee education and training, enhancing the climate and quality of work life, and creating and valuing a diverse work force. More information on the services OHR provides including university-wide policies on affirmative action, equal employment opportunity, and non-discrimination/harassment; sexual harassment; personnel records; nepotism; conflicts of interest and work outside the university; university faculty and staff assistance program; whistleblower; benefits and services; wage and salary; employment; staff development; hours of work and leaves; health and safety; discipline and grievances; reduction in workforce; and student employment can be found on the OHR website, www.ohr.osu.edu. While some of these policies apply only to staff, most of them apply equally to all university employees including faculty.

11.0 INSTITUTIONAL RESEARCH AND PLANNING, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

The Office of Institutional Research and Planning (IRP) develops and analyzes university strategic indicators and performance measures. Additional information on IRP can be found at the IRP website, www.oaa.osu.edu/irp/home.php.

12.0 MINORITY AFFAIRS, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

The Office of Minority Affairs (OMA) provides leadership in supporting the success of minority students, faculty, and staff. OMA advocates for minority individuals at Ohio State and emphasizes the recruitment, retention, and timely graduation of undergraduate, graduate, and professional students. Additional information can be found at the OMA website, www.oma.osu.edu.

13.0 REGISTRAR, OFFICE OF THE UNIVERSITY

Revised: 08/01/07

Edited: 08/01/07

The Office of the University Registrar provides support for enrollment, course and final exam scheduling, course registration, and other student data-related information. Additional information, including enrollment related policies and Family Educational Rights and Privacy Act (FERPA) can be found on the Registrar's faculty/staff website, www.ureg.ohio-state.edu/Indexes/faculty-staff.html.

The university's final examination policy can be found in Faculty Rules 3338-8-19 and 3335-5-20.

14.0 RESEARCH, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

The Office of Research provides support for the research mission of the university. Additional information including the policies on the authorization to seek off-campus funding, conflict of interest, facilities and administrative costs (indirect costs), gifts versus grants and contracts, human subjects and biosafety, misconduct in research, patents and copyrights, qualifications for service as a principal investigator, and research scientist appointments can be found at the Office of Research resources website, www.research.osu.edu/resources/index.cfm.

The Office of Research also oversees the Ohio State University Research Foundation (OSURF), the Office of Responsible Research Practices (ORRP), and the Office of Technology Licensing and Commercialization (OTLC).

14.1 RESEARCH FOUNDATION, THE OHIO STATE UNIVERSITY

Revised: 08/01/07

Edited: 08/01/07

The Ohio State University Research Foundation (OSURF) promotes the development, implementation, and coordination of sponsored research at Ohio State and provides oversight of sponsored projects and the personnel associated with them by offering specialized integrated project development, administrative and financial services for research, and other activities supported by external sponsors. Additional information on OSURF, including the policies governing externally sponsored research at Ohio State can be found at the OSURF website, <http://rf.osu.edu>.

14.2 RESPONSIBLE RESEARCH PRACTICES, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

ORRP provides administrative support to the university research community by assisting faculty, staff, and students seeking committee approvals to conduct human subject and animal research; provide educational programming in support of the responsible conduct of research; and supports the operations of the university's Institutional Animal Care and Use Committee and Institutional Review Boards. More information on these topics can be found on the ORRP website, <http://orrrp.osu.edu>.

14.3 TECHNOLOGY LICENSING AND COMMERCIALIZATION, OFFICE OF

Revised: 08/01/07

Edited: 08/01/07

OTLC fosters an entrepreneurial culture at Ohio State by assisting in maximizing the value of Ohio State developments and by accelerating the transition of new developments into products, services, and new or expanded

jobs. Additional information, including policies and legislation governing technology licensing and commercialization can be found at the OTLC website, www.tlc.osu.edu.