

# **PATTERN OF ADMINISTRATION FOR THE DEPARTMENT OF MANAGEMENT & HUMAN RESOURCES**

**Max M. Fisher College of Business  
The Ohio State University**

## **INTRODUCTION**

This document provides a brief description of the [Department of Management and Human Resources](#) (MHR) as well as a description of its policies and procedures. It supplements the [Rules of the University Faculty](#) and other policies and procedures of the [Fisher College of Business](#) (FCOB) and of the [The Ohio State University](#) (OSU) to which the department and its faculty are subject. The latter rules, policies and procedures, and changes in them, take precedence over statements in this document.

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

## **DEPARTMENT MISSION**

The mission of the Department of MHR is to offer and maintain outstanding nationally and internationally recognized academic programs at the undergraduate, masters, and doctoral levels and to provide an environment conducive to faculty research of the highest caliber. The department strives to develop its faculty throughout their careers in the achievement of excellence in teaching, research, and service.

## **FACULTY**

[Faculty Rule 3335-5-19](#) defines the types of faculty appointments possible at The OSU and the rights and restrictions associated with each type of appointment. For purposes of governance, the faculty of this department will include the following:

- Tenure-track faculty with compensated FTEs (full-time employees) of at least 50% in the department with the titles of professor, associate professor, and assistant professor. Tenure-track members of the department may participate fully in the business of faculty meetings.
- Emeritus tenure-track faculty, and tenure-track faculty joint appointees with FTEs below 50% in this department may be invited to participate in discussions on non-personnel matters, but may not participate in APT (appointment, promotion, and tenure) matters, including promotion and tenure reviews, and may not vote on any matter.

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- Clinical faculty with compensated FTE's of at least 50% in the department with the titles of clinical professor, clinical associate professor, and clinical assistant professor may participate fully in the business of the department with the exception of voting on all APT decisions dealing with tenure-track faculty. Clinical faculty may participate in the debate about appointments of tenure-track faculty, but are not permitted either to participate in their review or vote on promotion and tenure. Clinical faculty may participate fully in all aspects of APT of clinical faculty in a manner consistent with the college rules.
- Other non-tenure-track faculty with appointments greater than 50% in this department with the titles of senior lecturer, lecturer, and visiting assistant professor, visiting associate professor, and visiting professor may participate fully in the business of the department with the exception of voting on all APT decisions. These faculty members may participate in the debate about appointments of faculty, but are not permitted either to participate in their review or vote.
- Courtesy and joint appointments (with less than a 50% appointment in MHR) are voted upon by the faculty and are reviewed annually by the chair. Faculty with courtesy and joint appointments must do the following: (1) Teach a course and/or engage in an active research program (in the management area) and perform significant Ph.D. advising; (2) attend faculty meetings; and (3) perform committee work as recommended by the faculty.

### **OVERVIEW OF DEPARTMENTAL ADMINISTRATION & DECISION-MAKING**

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

### **DEPARTMENT ADMINISTRATION**

#### **CHAIR**

The Chair of the Department of MHR shall be the presiding officer of the department. In the absence of the chair, the duties of the presiding officer shall be assigned by the chair to a tenured member of the department faculty. The primary responsibilities of the chair are set forth in [Faculty Rule 3335-3-35](#). This rule requires the chair to develop, in consultation with the faculty, a POA with specified minimum content. A copy of this Department's POA shall be deposited in the Office of the Dean of the College and in the Office of the Executive Vice President and Provost and will be made available to all present and prospective members of the Department.

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Other responsibilities of the chair of the Department of MHR, not specifically noted elsewhere in this POA, are paraphrased and summarized below.

- To have general administrative responsibility for department programs, subject to the approval of the dean of the FCOB.
- To develop in consultation with the faculty a POA. This POA shall be made available to all present and prospective members of the faculty of the department, and a copy shall be deposited in the office of the dean of the college and in the office of executive vice president and provost.
- To prepare, after consultation with the faculty and in accordance with the pattern of departmental administration, a statement setting forth the criteria and procedures according to which recommendations are made concerning appointments and/or dismissals, salary adjustments, promotions in rank, and matters reflecting the appointment and tenure of the faculty. This statement shall be made available to all present and prospective members of the department, and a copy shall be deposited in the office of the dean of the college and in the office of the executive vice president and provost. At the beginning of each four-year term of the chair of the department, the members of the department shall receive either a revision or reaffirmation of the original statement.
- To operate the business of the department with efficiency and dispatch.
- To plan with the members of the faculty and the dean of the college a progressive program.
- To evaluate continuously the instructional and administrative processes and lead in the study of methods of improving them.
- To evaluate faculty members annually in accordance with criteria approved by the board of trustees and subject to instructions from the executive vice president and provost, and also according to such supplemental criteria as may be set up by the department or college.
- To inform faculty members when they receive their annual review of their right to review their personnel file maintained by the department and to place in that file a response to any evaluation, comment, or other material contained in the file.
- To recommend to the dean of the college, after consultation with the faculty in accordance with the college patterns of administration, appointments, promotions, dismissals, and matters affecting the reappointment and tenure of members of the department faculty.
- To encourage research and educational investigations.
- To see that all faculty members, regardless of their assigned location, are offered the departmental privileges and responsibilities appropriate to their rank, and in general to lead in maintaining a high level of morale.
- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.

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- To promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.
- To recognize the interdisciplinary nature of the FCOB and the corresponding importance of effective collegiality and cooperation in both academic undertakings and administrative operations.

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

Operational efficiency requires that the chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of department academic goals, however, is most successful when all faculty participate in discussing and deciding matters of importance. The chair will therefore consult with the faculty on all educational and academic policy issues and will respect the principle of majority rule. Majority faculty rule shall be the favored policy on all matters covered by the POA. When majority faculty rule is not followed, the department chair shall explain the reasons for the departure to enhance communication and to facilitate understanding within the department. Where possible, this statement of reasons shall be provided before the departure occurs. This explanation shall outline the decision of the majority of the faculty, the decision of the department chair, and the reasons the decisions differ. The explanation shall be communicated to the faculty in writing, where possible, or at a faculty meeting, with an opportunity for the faculty to comment.

## COMMITTEES

Much of the development and implementation of the department's policies and programs is carried out by standing and ad hoc committees. The chair is an ex officio member of all department committees and may vote as a member on all committees except the Promotion and Tenure Committee. Unless otherwise noted, committees shall be comprised of a chair that is appointed by the department chair and three additional faculty members. All members of MHR committees shall complete Implicit Bias Training before their work begins.

### **Standing MHR Committees**

Standing committees are established by the faculty to handle matters of ongoing interest to the faculty. The department chair appoints the chair of each standing committee. Committee membership is determined by a process of ratification by faculty vote. Unless otherwise stated, committee members are appointed for an annual term subject to review and renewal. Changes in the list of standing committees are initiated by the chair or by the faculty and codified by faculty vote. A list of the standing committees and a description of their functions follows. Depending upon college and department priorities, some committees may be left vacant in a given year.

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- A. MHR Department Ph.D. Committees. This committee is responsible for Ph.D. policy and curricular issues as well as recommending the admission, development, and evaluation of Ph.D. students. The committee also is responsible for assuring that the departmental Ph.D. program and tracks are responsive to the needs of the FCOB and its constituents, and that training provided by the department's faculty is first rate. Policy or curricular changes proposed by these committees are to be approved by vote of the MHR faculty.
- B. Masters of Human Resource Management (MHRM) Graduate Studies Committee. This committee is responsible for policy and curricular issues concerning the MHRM program as well as the admission and development of MHRM students. It is also responsible for assuring that the MHRM program is responsive to needs of the FCOB and its constituents and that training provided by the department's faculty is first rate.
- C. MHR Department Masters of Business Administration (MBA) Committee. This committee is responsible for policy and curricular issues concerning the MHR components of the MBA program. Recommendations of the committee go to the full MHR-faculty for discussion. Recommendations, if endorsed by faculty vote, are forwarded to the Fisher College MBA Policy Committee for consideration. The department MBA Committee interfaces with the Fisher College MBA Committee in all related matters. The committee is responsible for assuring that MHR contributions to the MBA program are reflective of constituent needs, and that training provided by the MHR faculty in the MBA program is first rate.
- D. MHR Department Undergraduate Committee. This committee is responsible for policy and curricular issues concerning the MHR components of the college undergraduate program. Recommendations of the committee go to the full MHR faculty for discussion. Recommendations, if endorsed by faculty vote, are forwarded to the Fisher College Undergraduate Policy Committee for consideration. The department Undergraduate Committee interacts with the Fisher College Undergraduate Policy Committee in all related matters. The committee is responsible for assuring that MHR contributions to the undergraduate program are reflective of constituent needs, and that training provided by the MHR faculty is first rate.
- E. Department Executive Committee (DEC). The purpose of this committee is to advise the chair on matters deemed important to the department, especially those pertaining to policy. The committee will consist of three members who are elected by the voting faculty at the beginning of the academic year. Each tenure-track and clinical faculty member will be permitted to cast one vote for one faculty member in each of three groups, respectively: the tenured faculty in Organizational Behavior/Human Resources (OB/HR), the tenured faculty in Strategy/International Business (IB), and the Clinical Associate or Full Faculty. The individuals who receive the most votes within in each category shall serve a one-year term on the DEC and the chair of the department will be an ex officio member.

### **Ad Hoc Committees and Task Forces**

Ad Hoc Committees and task forces may be established as deemed necessary by the chair or as directed by the MHR faculty when assembled in a meeting. Two types of Ad Hoc Committees warrant specific mention:

- A. MHR Search Committees. Upon college approval to undertake a search. A departmental search committee may be established to facilitate the search for candidates. The committee shall act in accordance with university and college policy in: soliciting, receiving, and circulating vitae of prospective candidates; recommending a suitable number of candidates for interview; coordinating the campus visits of candidates; and, based on faculty opinion, will rank order the interviewed candidates. Each search committee will consist of a chairperson and two or more members drawn from the department faculty and selected by the chair. When possible, the chair of the search committee will be a full professor in the department. The appointments shall extend until the charge given the committee is completed. While the search committee will lead the process, the larger departmental faculty will be consulted regarding the review and selection of new faculty members for appointment.
  
- B. Promotion and Tenure Review Committee. All promotion and tenure committees are described in the [Fisher College Appointment, Promotion, and Tenure Review Document](#).

### **FACULTY MEETINGS**

The chair will consult with the faculty as a whole on all policy matters and such consideration will, whenever practical, be undertaken at a meeting of the faculty as a whole. In accordance with this requirement, the chair will provide to the faculty a schedule of department faculty meetings at the beginning of each academic term. The schedule will provide for at least one meeting per academic term and/or as otherwise needed. A call for agenda items and completed agenda will be delivered to faculty by e-mail before a scheduled meeting. Reasonable efforts will be made to call for agenda items at least seven days before the meeting, and to distribute the agenda by e-mail at least three business days before the meeting. A meeting of the department faculty will also be scheduled on written request of 25% of the department faculty. The chair will make reasonable efforts to have the meeting take place within one week of receipt of the request. The chair will maintain minutes of all faculty meetings and will maintain records of all other actions covered by the POA. The chair will distribute minutes of faculty meetings to faculty by e-mail-within seven days of the meeting if possible. These minutes may be amended at the next faculty meeting by a simple majority vote of the faculty who were present at the meeting covered by the minutes.

Special policies pertain to voting on personnel matters, and these are set forth in the [College's Appointments, Promotion and Tenure Review Document](#).

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

Either the chair or one-third of all faculty eligible to vote may determine that a formal vote conducted by written ballot is necessary on matters of special importance. For purposes of a formal vote, a matter will be considered decided when a particular position is supported by at least 51% of all faculty eligible to vote. Balloting will be conducted by mail or e-mail when necessary to assure maximum participation in voting. When conducting a ballot by mail or email, faculty members will be given at least three business days to respond.

When a matter must be decided and a simple majority of received votes cannot be achieved on behalf of any position, the chair will necessarily make the final decision.

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

## FACULTY EVALUATION

Faculty are evaluated annually in terms of their contributions to the teaching, research, and service missions of the department, college, and university. Evaluations for promotion and tenure are conducted according to criteria and procedures set forth in department, college, and university documents. Individual faculty are responsible for documenting their contributions by completing the college's faculty annual review form (sent to each faculty by their Department Program Coordinator). These contributions are evaluated consistent with the College's Faculty Responsibility Allocation Policy (procedures described below). The chair will communicate the composite and individual performance ratings to each faculty member through an annual performance evaluation letter followed by the opportunity for a one-on-one meeting.

There will be a formal review of all untenured faculty in the Spring Semester of each year. The procedures for this review are described in the [Fisher College Appointment, Promotion, and Tenure Review Document](#).

In each year prior to the granting of tenure, the decision can be to not renew the faculty member's appointment. Procedures are described in the [Fisher College Appointment, Promotion, and Tenure Review Document](#).

The performance rating is a primary input into salary adjustment and Individual Spending Account (ISA) determinations. Internal and external equity considerations, as outlined in the [FCOB Compensation Policy](#), are other important inputs. A three-year rolling average of individual performance is employed in these determinations.

## **DEPARTMENT FACULTY TEACHING LOAD POLICY**

As set forth in the Fisher College of Business Faculty Responsibility Allocation Policy and in accordance with university guidelines, the department of MHR's internal evaluation system will incorporate two principles related to the determination and assignment of individual faculty member teaching loads:

- A. Yield, at a minimum, the Department/teaching Load (DTL) assigned to the department by the dean;
- B. Accommodate college-wide teaching load assumptions.

## **POLICY ON FACULTY DUTIES & RESPONSIBILITIES**

The OAA requires departments to have a policy on faculty duties and responsibilities (See the [OAA Policies and Procedures Handbook, Vol. 1, Chapter 2, Section 1.4.3](#)). The information provided below supplements these guidelines.

Faculty duties and responsibilities includes research, teaching, and service activities as described in the department's APT document and [Fisher College of Business Workload Policy](#). The department chair is charged with making allocation and assignment decisions consistent with college and departmental priorities. The fairness and equitable allocation of workload activities is subject to audit by the departmental faculty at the time of the annual review process.

During on-duty semesters, faculty members are expected to be available for interaction with students, service responsibilities, and other responsibilities even if they have no formal course assignment that semester.

During periods when they have formal course assignments, faculty members are expected to be available to students for consultation about matters related to the course(s) assigned. These consultations may be handled through face-to-face meetings, e-mail correspondence or other means. Normally, faculty should be available for such consultation at least two hours weekly, at fixed times or by appointment. Specific details of faculty availability for such consultation should be included in the course syllabus or through an announcement on a course website.

On-duty faculty members should not be away from campus for extended periods of time unless on an approved [Faculty Professional Leave](#) or other approved leaves.

The guidelines outlined here do not constitute a contractual obligation. Fluctuations in the demands and resources of the department and the individual circumstances of faculty members may warrant temporary deviations from these guidelines. Assignments and expectations for upcoming years are addressed as part of the annual review by the department chair.

In MHR, absent a specific written agreement between a faculty member and college administration (e.g. specific clauses in endowed chair contracts), faculty workloads will be assigned and distributed equitably in accordance with the following general principles:



Faculty are expected to meet the workload requirements of the college. Credit toward meeting the work load requirement can be earned via contributions in any of the categories or subcategories identified in the [Fisher College Appointment, Promotion, and Tenure Review Document](#).

### **COURSE OFFERINGS & TEACHING SCHEDULES**

The department chair will annually develop a schedule of course offerings and teaching schedules in consultation with the faculty, both collectively and individually. While every effort will be made to accommodate the individual preferences of faculty, the department's first obligation is to offer the courses needed by students at times most likely to meet student needs. To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs, reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students required by [Faculty Rule 3335-8-16](#) will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent semester. Finally, to the extent possible, courses required in any curriculum or courses with routinely high demand will be taught by at least two faculty members across semesters of offering to assure that instructional expertise is always available for such courses.

### **ALLOCATION OF DEPARTMENT RESOURCES**

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

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

The allocation of salary funds is determined according to the [FCOB Compensation Policy](#). Individual faculty members are responsible for documenting their contributions and preparing reports of their activities as described in the [FCOB Compensation Policy](#). The chair will communicate, in writing, the substance of each faculty member's evaluation to the faculty member.

Each faculty member will be given an ISA and will be notified around the start of each fiscal year of the precise amount of the year's allocation. The allocation is made by the chair and is based upon such items as perceived need, current balance, and appropriateness of use. The ISA and its uses are described in policies that can be obtained from the Fisher Shared Services Center (FSSC). ISAs may be used for such items as travel, computer equipment, and other business-related items. Unused ISAs may be carried over from one year to the next.

## LEAVES & ABSENCES

The University's policies with respect to leaves and absences are set forth in the [OAA Policies and Procedures Handbook](#) and [Office of Human Resources \(OHR\) Policies and Procedures](#) website. The general categories for leaves are summarized below.

### **Discretionary Leave**

Faculty members are expected to complete a [travel request](#) or an [Application for Leave](#) form well in advance of a planned absence to provide time for its consideration/approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular semester is substantial. [Faculty Rule 3335-5-8](#) requires that the OAA approve any discretionary absence longer than ten consecutive business days.

### **Absence for Medical Reasons**

When absences for medical reasons are anticipated, faculty members are expected to complete an [Application for Leave](#) form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should inform the department chair promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used-not banked. For additional details, see [Paid Leave Programs, OHR Policy 6.27](#).

### **Unpaid Leaves of Absence**

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in [Unpaid Leave, OHR Policy 6.45](#). A faculty member may request an unpaid leave for personal or professional reasons. 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 return. A faculty member applying for unpaid leave should submit a written request for the absence as far in advance as feasible since such leaves require approval by the department chair, dean, and OAA. Among other factors, approval will be based on the ability of the department and of the college to cover the faculty member's responsibilities, and the implications of the leave on furthering the missions of the department and of the college.

### **Faculty Special Assignments (FSA)**

FSAs are normally one semester in length and are designed to provide a faculty member time away from classroom teaching and some other responsibilities so that he or she may concentrate on a unique research, teaching, or service endeavor or invest in a relatively brief professional development opportunity. A Special Assignment (SA) may be completed on campus or away from campus. Since the faculty member is not on leave, but rather on full-time duty with the University during a SA, he or she is not permitted to derive compensation from another institution other than approved paid external consulting. The SA also does not alter the faculty member's promotion schedule nor the annual performance evaluation standards. The college adheres to the procedures specified in [OAA's Policy on Faculty Special Assignment](#).

Faculty members who desire a SA should discuss the matter with the department chair during their annual evaluation or as soon thereafter as possible. The department chair will indicate whether submission of a full proposal articulating the purpose and nature of the FSA is appropriate. The chair will normally announce decisions regarding FSAs for the next academic year no later than June 30 of the previous academic year, but retains the option of making decisions regarding proposals at other times when circumstances warrant such flexibility. This requires approval from the dean.

### **Faculty Professional Leave**

The Faculty Professional Leave (FPL) program was created to give long-serving tenured faculty a period of uninterrupted time (one to two semesters) to invest in professional development. FPL proposals generally emphasize enhancement of research skills and knowledge – see [OAA's Policy on FPL](#).

The procedure for applying for a FPL for college faculty is as follows. Faculty members should complete [OAA's Application for FPL](#). The department chair reviews the proposal and makes a recommendation to the dean. The chair's recommendation to the dean regarding an FPL proposal will be based on the quality of the proposal and its potential benefit to the department and to the faculty member as well as the ability of the department to accommodate the leave at the time requested. The chair's recommendation should review the merits of the proposal, the potential benefits to the department and to the faculty member, and the ability of the department to accommodate the leave at the time requested. Only if the chair's recommendation is to approve, the proposal and the recommendation are forwarded to the dean or the dean designee (currently the Senior Associate Dean for Academics). The dean or dean designee will evaluate these proposals using similar criteria while also accounting for college priorities and needs.

An FPL requires approval from the department chair, college dean, OAA, and Board of Trustees. Given this, FPL proposals for a particular year must be submitted no later than the end of the Autumn Semester of the preceding year. Exceptions to this timing can be granted if unexpected opportunities arise. But, even in these cases, proposals should be submitted to the department

chair at least three months prior to the start of the proposed leave in order to meet deadlines for subsequent approvers.

### **Parental Leave**

The university and the college recognize the importance of parental leave to faculty members. The details are provided in the [University's Parental Care Guidebook](#), the [Paid Leave Programs, OHR Policy 6.27](#), and the [Family and Medical Leave Policy 6.05](#). In the event of the birth or adoption of a child, the [Parental Leave Policy](#) allows faculty members who have been employed with the university for at least twelve months to use six weeks of paid leave as the birth mother and three weeks of paid leave as the father, domestic partner, employee using a surrogate, or adoptive parent. In addition, when combined with the [Family and Medical Leave Act \(FMLA\)](#), faculty members can extend the total leave to a maximum of twelve weeks. The college also provides assistance and flexibility to faculty to manage their workload during parental leave as provided for in the college's workload policy.

### **SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY**

Information on faculty supplemental compensation is presented in [OAA's Policy on Faculty Compensation](#). Information on compensation for external consulting is presented in [OAA's Policy on Faculty Paid External Consulting](#).

The department expects faculty members to carry out the duties associated with their primary appointment with the university at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation must be approved by the department chair and, where appropriate, the dean, regardless of the source of compensation. External consulting must also be approved. Approval will be contingent on the extent to which a faculty member is carrying out duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with duties, and the academic value of the proposed consulting activity to the department. In addition, it is university policy that faculty may not spend more than one business day per week on supplemental, compensated activities and external consulting combined. Individuals who fail to adhere to the university's policies on these matters, including seeking approval for external consulting, will be subject to disciplinary action.

### **FINANCIAL CONFLICTS OF INTEREST**

The department adheres to the university's policy on [Faculty Financial Conflict of Interest](#). A conflict of interest exists if financial interests or other opportunities for tangible personal benefit

may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

Faculty members with external funding or otherwise are required by university policy to file conflict of interest screening forms annually through the [Office of Research Compliance](#), and more often if prospective new activities pose the possibility of financial conflicts of interest. Faculty who fail to file such forms or to cooperate with university officials in the avoidance or management of potential conflicts will be subject to disciplinary action. In addition to financial conflicts of interest, faculty must also disclose any other conflicts of commitment arise in relation to consulting or other work done for external entities.

## **GRIEVANCE PROCEDURES**

A faculty or staff member with grievance should discuss the issue with their department chair or supervisor who will review the matter as appropriate and either seek resolution or explain why resolution is not possible. The procedures for the review of specific types of complaints and grievances are summarized below.

### **Salary Grievances**

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the chair. The faculty or staff member should provide documentation to support the complaint. Faculty members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter may be eligible to file a more formal salary appeal following procedures detailed in [OAA's Policies and Procedures Handbook, Volume 1, Chapter 3](#). Staff members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter should contact [OHR Services, Compensation](#).

### **Faculty Misconduct**

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in [Faculty Rule 3335-5-04](#).

### **Faculty Promotion and Tenure Appeals**

Promotion and tenure appeals procedures are set forth in [Faculty Rule 3335-5-05](#).

### **Sexual Misconduct**

The university's policy and procedures related to sexual misconduct are set forth in [OHR Policy 1.15](#).

### **Student complaints**

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

Faculty complaints regarding students must always be handled strictly in accordance with University rules and policies. Faculty should seek the advice and assistance of the chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, and in accordance with the [Code of Student Conduct](#), evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct.

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Approved by Management & Human Resources faculty on 1 February 2017



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Bennett Tepper, Chair

February 13, 2017

Date

OAA Approved, 4/22/17