PATTERN OF ADMINISTRATION

POLICIES AND GUIDELINES

Department of Veterinary Biosciences
College of Veterinary Medicine
The Ohio State University
Revised June 2007
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I. INTRODUCTION

This document is intended as an overview of the policies, procedures and practices defining the *Pattern of Department Administration* in the Department of Veterinary Biosciences (Department) in the College of Veterinary Medicine at The Ohio State University. This document should be viewed as a supplement to and is not intended to be in conflict with the *Rules of the University Faculty* or other rules and procedures published by the University or those periodically updated and available online under the Board of Trustees website (http://www.trustees.admin.ohio-state.edu) and in the Office of Academic Affairs Policies and Procedures Handbook available at (http://oaa.ohio-state.edu/handbook/tc.html). The document is subject to continuing revision based upon faculty input and refinements in Department, College, and University goals and approval by the Dean and Provost. At the beginning of each four-year term of the Department Chair, either a revision or reaffirmation of this document will be made available to all present and prospective members of the Department, and a copy will be deposited in the Office of the Dean of the College, and the Office of the Executive Vice President and Provost. Included in the *Pattern of Department Administration* is Section IX entitled *Appointments, Promotion and Tenure*, which sets forth the criteria and procedures according to which recommendations are made concerning appointments, dismissals, salary adjustments, promotion in rank, and matters affecting the tenure of the faculty. Changes in any portion of this document will be circulated whenever necessary, and a revised edition of the total document will be published.

II. MISSION STATEMENTS

The mission of the Department is to foster an environment conducive to the achievement of excellence in teaching and advising, research and scholarly activity in basic and applied veterinary medical science for the general benefit of veterinary medicine and society. An overarching goal of the mission is to discover new scientific facts and disseminate knowledge for the education and training of professional students, graduate students, and research scientists. Goals developed by the Department provide focus and direction to its mission. Desired levels of achievement are identified and incorporated into a Department *Strategic Plan* available as a PDF file on the Department's website (http://www.vet.ohio-state.edu/biosciences.htm).

The mission of the Department is accomplished through four activities: education, research, outreach, and service.

A primary education mission is to organize and teach all basic and selected applied and clinical veterinary medical sciences in the professional curriculum. Equally important is the mission to educate graduate students by providing experienced graduate advisors, state-of-the-art laboratory facilities, and programs for graduate education and specialty board preparation.
The research mission is to have all faculty engaged in basic, translational or applied research that will generate new knowledge pertinent to their professional disciplines and to enhance the education of veterinary medical and graduate students. The faculty will disseminate knowledge acquired from their research through timely publication, teaching, and other scholarly endeavors.

In the Department, outreach and engagement is defined as meaningful and mutually beneficial collaborations with partners outside the academic community. Department partners in this mission include institutions and individuals in education, business, and public or social service. Faculty, staff, and student members engaged in outreach and engagement are recognized for their efforts and outcomes from these activities will enhance other missions of the Department and expand the impact of the faculty, staff, and students’ contributions to the University and society.

The service mission encompasses the clinical laboratories, and professional, and administrative services. The clinical laboratories provide diagnostic services to the OSU Veterinary Teaching Hospital and the veterinary medical community in the State of Ohio. These laboratories have a dual function of service and teaching, and provide a major contribution to the education of veterinary medical students and the preparation of postdoctoral students for specialty board certification. Professional service is accomplished through dissemination of knowledge to the broad biomedical and veterinary medical communities and to the citizens of the state. Faculty members are also expected to contribute their time and effort to professional services at the national and international level to enhance the Department's reputation and extend its missions impact beyond the University. These include such activities as grant reviews, specialty board examination committees, executive boards of professional organizations, editorial board membership, continuing education programs, and editorship for academic journals. Administrative service involves active faculty participation in the governance of the Department, College, and University.

Faculty and staff development is essential to fulfill the Department's missions in education, research, and service. The Department will recruit the finest faculty available in areas of need and opportunity, nurture the career development of new and existing faculty, and maintain an environment that facilitates high-quality scholarly productivity.

III. FACULTY

The Department defines faculty according to criteria established in rules 3335-6 (tenure-track faculty appointments) and 3335-7 (clinical-track and research track faculty appointments) established by the University Board of Trustees (http://trustees.osu.edu/rules7/ru7-01.php). As used in these rules the term "faculty" shall include persons appointed by the board of trustees with regular tenure-track, regular clinical, regular research, auxiliary, and emeritus faculty titles on full- or part-time appointments, with or without salary.
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A. "Regular tenure-track faculty": persons with the titles of professor, associate professor, assistant professor, and instructor who serve on appointments totaling fifty per cent or more service to the university.

B. "Regular clinical faculty": Regular clinical faculty serve under fixed term contracts and are not eligible for tenure. Regular clinical faculty appointments are described in Chapter 3335-7 of the Administrative Code.

C. "Regular research faculty": Regular research faculty serve under fixed term contracts and are not eligible for tenure. Regular research faculty appointments are described in Chapter 3335-7 of the Administrative Code.

D. "Auxiliary faculty": persons with adjunct titles, clinical titles, visiting titles, and lecturer titles; also professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than fifty per cent service to the university. Persons with regular faculty titles may not hold auxiliary titles. Persons holding auxiliary titles are not eligible for tenure, may not vote at any level of governance, and may not participate in promotion and tenure matters.

1. The titles of adjunct professor, adjunct associate professor, adjunct assistant professor, and adjunct instructor shall be used to confer faculty status on individuals who have credentials comparable to regular faculty of equivalent rank, who provide significant, uncompensated service to the instructional and/or research programs of the university and who need a faculty title to perform that service. Significant service would include teaching the equivalent of one or more courses, advising graduate students or serving on graduate committees, and serving as a co-investigator on a research project. Such individuals may be either non-university employees or university employees compensated on a non-instructional budget. Adjunct appointments are made for the period in which the uncompensated service is provided not to exceed one year; renewal is contingent upon continued significant contributions. Procedures for the promotion of adjunct faculty members shall be the same as for promotion of regular faculty.

2. The titles of clinical professor, clinical associate professor, clinical assistant professor, and clinical instructor shall be used to confer faculty status on individuals who have credentials comparable to regular clinical faculty of equivalent rank and who either provide significant, uncompensated service for which a faculty title is needed or compensated service to the clinical instructional programs in the colleges of the health sciences. Clinical appointments are made for the period in which the service is provided not to exceed one year. Renewal of no-salary appointments is contingent upon continued significant contributions. Procedures for the promotion of clinical faculty members shall be the same as for promotion of regular clinical faculty.
3. The titles of visiting professor, visiting associate professor, visiting assistant professor, and visiting instructor shall be used to confer faculty status on individuals who have credentials comparable to regular faculty of equivalent rank who spend a limited period of time on formal appointment and in residence at this institution for purposes of participating in the instructional and research programs of the university. A visiting appointment cannot exceed three continuous academic years of service.

4. The titles of lecturer and senior lecturer shall be used for all compensated instructional appointments where other titles are not appropriate. Lecturers' responsibilities shall be limited to formal course instruction.

E. "Emeritus faculty": regular tenure-track, regular clinical faculty, or regular research faculty who, upon retirement, were recommended by the chair, the dean and the executive vice president and provost for emeritus status. Emeritus faculty may not vote at any level of governance and may not participate in promotion and tenure matters but may have such other privileges as individual academic units or the office of human resources may provide. (B/T 4/4/97, B/T 12/4/98, B/T 4/6/99, B/T 3/1/2002, B/T 7/12/2002, 6/4/2004)

F. “Joint Faculty” Appointments: a joint faculty appointment is defined as one in which a faculty member has a compensated FTE appointment in two or more tenure initiating units. Some aspects of these guidelines may be helpful in establishing memorandums of understanding for appointments where a non-TIU such as an academic center provides part of the funding for a faculty appointment but such memorandums of agreement (MOU) do not require OAA approval.

G. Uncompensated Auxiliary Appointments: These appointments may be used for temporary appointment of faculty or scholars from other institutions who are not compensated by The Ohio State University as defined in the Ohio State Office of Academic Affairs website (http://oaa.osu.edu/handbook/ii_auxuncomp.html). Regardless of title, all uncompensated auxiliary appointments in the Department must entail a letter of offer stating the start and end date with the latter occurring no later than June 30 of the current fiscal year. To avoid problems associated with these titles a letter of offer will state the time limitations of the appointment and Department policies on circumstances in which auxiliary faculty may be identified as Ohio State Faculty. These appointments require annual renewals in the human resources system and terminated an action in the system that ends the date of appointment consistent with the letter of offer end dates. Further definitions and policies of these appointments are contained in the Appointment Sections of the Department Pattern.

1. Visiting Faculty: The visiting faculty title may be used for the temporary appointment of faculty from other institutions who are not compensated by Ohio State.
2. Visiting Scholar: This is a non-faculty title, normally not compensated, for visitors to Ohio State (e.g. students from other institutions, both domestic and international, or visiting non-academics) who have need of University identification during their time in the Department. These appointments may be compensated from sponsored research or other sources of appropriate funds, except general funds used to operate the Department.

3. Adjunct and Uncompensated Clinical Auxiliary Appointments: These appointments are recommended at the discretion of the Department, made for a period not to exceed one year, and entail no commitment to renew the appointment beyond that period stated in the letter of appointment. These appointments are appropriate for persons who provide significant, uncompensated service to the Department such as: Teaching the equivalent of one or more course, advising graduate students or serving on graduate committees, serving as a co-investigator on a research project that entails regular interaction with department faculty and students as part of the collaboration. Such individuals may be either non-university employees or university employees compensated on a non-instructional budget. Adjunct appointments are made for the period in which the uncompensated service is provided, not to exceed one year. Renewal is contingent upon continued significant contributions. Compensation for services provided by adjunct faculty will only be approved in the rare instances when an individual who normally provides considerable uncompensated service takes on exceptional responsibility. Such compensation requires advance approval by the Department, College, and Office of Academic Affairs.

4. Graduate faculty: These appointments are considered a subset of the general faculty who are appointed in compliance with the University Graduate School Rules, may vote on matters related to the Department graduate program, and are defined in the Department of Veterinary Biosciences or College of Veterinary Medicine Graduate Program Handbook. By Graduate Department or College rule, Category P membership generally is reserved for faculty with regular tenure-track appointments of fifty percent or more. It is the policy of the Graduate Studies Committee of the Department of Veterinary Biosciences to nominate all eligible Department faculty for Category P membership. Regular faculty not eligible for Category P (e.g., regular clinical track or regular research track) who are eligible for Category M will be nominated for that status. The Graduate Studies Committee will consider special requests from non-tenured track faculty for category P status on a case-by-case basis. Non-tenure track faculty, like tenure track faculty nominated by the Graduate Studies Committee for category P status will be referred to the Graduate School for final approval of the category P status as detailed in the Department or College Graduate Studies Handbook.

H. Voting Faculty are considered all members of the regular faculty (regular tenure track, regular clinical track, and regular research track) with appointments of 50% time or
more are eligible to vote on all issues, except on matters related to personnel (e.g., appointment, promotion and tenure) where university policies shall prevail.

IV. ORGANIZATION OF DEPARTMENT SERVICES AND STAFF

The organization of the Department is designed to offer administrative and core services to assist in accomplishing the academic missions of the Department.

The administrative staff is organized to provide fiscal and logistic management of the Department for such services as: purchasing of goods and services, grants management, travel arrangements, general secretarial needs, educational services, and human resources support (described in Section VI).

Graduate program staff members assist in organization of Graduate Studies Committee meetings, maintaining student records, recruitment activities, and immigration related activities. Graduate records of the department have been centralized and an inquiry system has been established to provide information to prospective graduate students. Information for prospective graduate student applicants is provided by phone, e-mail, and mailings of brochures. A Graduate Studies Program website (http://www.vet.ohio-state.edu/gradProgs.htm) is available to facilitate graduate student recruitment. The website includes faculty profiles, general community information, admissions and financial information, and fellowship announcements. The Department offers a Graduate Program Handbook for all entering graduate students. Students supported by Department funds are encouraged to rotate among laboratories that have active research support. Incoming students are provided a list of currently available research laboratories along with descriptions of the field of research.

Core services groups are supported in the Department in the areas of pathology, clinical pathology, imaging, immunohistochemistry/histology/mouse phenotyping, and molecular biology. These core groups are designed to manage resources effectively and provide coordinated approaches to core services that assist in the research, education, and service missions (details of administrative operations below). The Department provides staff members to support diagnostic laboratory services on a fee for service basis to the OSU Veterinary Teaching Hospital (VTH), all departments within the college, other departments within the university, the university laboratory animal program (ULAR), the Columbus Zoo, private veterinary reference laboratories, private practitioners, other colleges of veterinary medicine, and investigators from other institutions. In addition to diagnostic services, the clinical laboratories provide valuable case material for teaching veterinary medical students and preparing residents for specialty board certification in veterinary pathology, clinical pathology, internal medicine, and surgery.

Staff members are assigned to maintain buildings and provide support services for faculty and students. Building coordinators are assigned duties related to infrastructure support and to serve as a liaison with OSU Physical Facilities and Environmental Health and Safety Offices to report maintenance problems and plan routine upgrades to equipment or
other infrastructure needs. The building coordinator and assigned staff members develop plans for compliance with biohazardous waste policies, evacuation plans for buildings, and provide basic support services to core service groups, and research and teaching laboratories.

V. OVERVIEW OF DEPARTMENT ADMINISTRATION AND DECISION MAKING

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

A. Chair's Duties and Responsibilities

The Chair will lead the Department with integrity and by positive example. Leadership will be consistent with University rules and appropriate faculty governance policies. Specific responsibilities are as follows:

1. To have general administrative responsibility for the Department program, subject to approval by the Dean of the College.

2. To develop, in consultation with the Department faculty, a Pattern of Department Administration document containing policies and guidelines, which include criteria and procedures for making recommendations concerning appointments or dismissals, salary adjustments, promotions in rank, and matters affecting the tenure of the faculty member. At the beginning of each four-year term of the Chair of the Department, either a revision or reaffirmation of this document will be made available to all present and prospective members of the faculty of the Department and a copy will be deposited in the Office of the Dean of the College, Office of the Vice President for Health Sciences, and Office of the Executive Vice President and Provost. The Chair will recognize in principle the presumption favoring majority faculty rule on matters covered by the Pattern of Department Administration. Should the Chair choose not to follow majority faculty rule, then he/she shall explain the reasons for the departure to enhance communication and to facilitate understanding within the Department.

3. To operate the business of the Department with efficiency and dispatch while complying with all University, State, and Federal laws, rules, and policies regarding financial or other appropriate areas of governance. The Chair should promote regular communication methods to distribute information to enhance the missions of the Department.
4. To devise, plan and implement with faculty members of the Department and Dean of the College a strategic plan for future development of the Department to foster excellence in all missions of the Department.

5. To monitor the instructional and administrative processes of the Department and direct adjustments and improvements as needed.

6. 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 defined by the Department. To inform faculty members annually that they have the right to review their personnel file maintained in the department and to place in that file a response to any evaluation, comment, or other material contained in the file.

7. To recommend to the Dean of the College, after consultation with the faculty, all appointments, dismissals, promotions, salary adjustments, and matters affecting the tenure of members of the Department faculty.

8. To encourage and promote the research, education, outreach, and service activities of the Department faculty.

9. To ensure that all faculty members, regardless of their assigned location, are offered Department privileges and define faculty responsibilities and tasks appropriate to their rank. The Chair should carry out these duties in a manner that promotes a high level of morale and collegiality.

10. To facilitate or provide adequate supervision and mentoring mechanisms are given to those members of the faculty, staff, and students who may profit by such assistance.

11. To prepare, after appropriate consultation with faculty and staff advisory groups, annual budget recommendations for consideration by the Dean of the College. The Chair has ultimate responsibility for allocating the Department's resources in a way that makes the most fiscal and programmatic sense. The Chair's financial management responsibilities include monitoring expenditures to make sure that spending remains within the limits of the Department's resources, and ensuring that Department operations comply with University expenditure policies and include adequate fiscal controls. The Chair is responsible for maintaining appropriate oversight of the activities of faculty and staff members having responsibility for fiscal matters.

12. To assure that all students who enroll in courses taught by Department faculty are offered the best possible academic experience, are treated with respect, and have a meaningful mechanism available to discuss their educational program and academic experience in the Department.
13. To provide leadership in working toward a positive climate within the Department. A positive climate is one in which 1) civility and mutual respect characterize interactions among faculty, staff and students; 2) evaluations are based on performance; 3) diversity is valued; and 4) persons refrain from jokes, innuendos, and other forms of discourse whose purpose or effect is to humiliate or degrade others. The Chair will be proactive in addressing any evidence of behavior contrary to the above.

14. To create and maintain on the Internet a web page for the Department of Veterinary Biosciences that will contain the current Pattern of Department Administration, Strategic Plan for the Department, an updated listing of faculty membership on Department, College, and University committees, and other appropriate information.

B. Committees and Operational Procedures

1. Faculty Meetings

The Chair will schedule a Department faculty meeting a minimum of once every quarter. Date, time, and agenda of the meeting will be announced in writing at least one week in advance. Faculty forums or additional Department faculty meetings may be convened as needed by the Chair or by faculty through a written request (at least three regular faculty signatures required). Minutes of each faculty meeting, including a list of those faculty present, will be recorded by a designee of the Chair and will be circulated for approval in advance of the next meeting. The approved minutes, along with pertinent documents introduced during the meeting, will be kept in the Department Office as a permanent record. Policy matters pertaining to Department operation shall be discussed in faculty meetings and approved by a majority vote provided a quorum (50% of regular faculty) is present. Should less than 50% of the eligible faculty be present, the issue will be settled by a ballot vote of all regular faculty. Voting rights are restricted to regular Department faculty only (50% or greater appointment). The rules contained in Roberts Pocket Manual of Rules and Order shall determine the parliamentary practice of meetings in which voting is conducted on substantive matters. Approved policies will be appended to this Pattern of Administration document.

2. Faculty Committees

Faculty committees shall include standing and ad hoc committees. The committee membership and charge of the committees will be announced to the faculty, unless the charge relates to confidential issues e.g., scientific misconduct. Unless otherwise indicated, all committees shall advise the Chair in areas of their purview following consultation with appropriate sources, including student groups. Standing committees are those, which by the continuity of their activities are
important to the effective function of the Department. Each standing committee will be encouraged to develop standard procedures of operation, which will be distributed to all faculty members. The standing committees shall be the Faculty Advisory Committee (FAC), the Graduate Studies Committee (GSC), Excellence in Education (ExEd) and the Department Promotion and Tenure Committee (DPTC). Formation of ad hoc committees will be utilized to address focused issues requiring faculty input in specific areas. The Chair with input from faculty members involved will select the committee members and appoint the Chairs of all ad hoc committees. Examples of ad hoc committees include those for faculty searches, quality of life, development, faculty mentoring, computer, capital equipment, special events, core services, etc. Unless otherwise indicated, any regular faculty member is eligible to serve on Department standing or ad hoc committees. Auxiliary, courtesy, or emeritus faculty, staff, and students may be appointed to ad hoc committees at the discretion of the Chair. All committees are encouraged to call upon faculty, staff, students, and administrators who have special expertise on matters under consideration for their ideas or perspective.

a. Faculty Advisory Committee (FAC)

The FAC, as a representative body of the regular faculty, will serve as an advisory group to the Chair regarding matters of Department business and other issues. The FAC will be composed of five faculty members elected by ballot vote of all regular faculty members to serve three-year terms. In following election years, each eligible voting faculty member will cast ballots for the number of vacant three-year terms open that year. FAC chairs will be elected at the first meeting of the FAC after July 1st. The term as chair will be limited to the remaining year(s) of their current three-year term. FAC members including the chair may serve more than one term. Nominations for all eligible seats on the FAC usually will be solicited during the Spring Quarter Department faculty meeting, eligible faculty will cast votes, and the elections will be concluded so that terms of office can begin July 1st.

Among its responsibilities, the FAC will serve in an advisory and consulting role regarding budget recommendations, assignment of Department resources and support services, prioritization of Regents’ equipment requests, awarding of research leaves, and appointment procedures for regular and auxiliary faculty. The FAC will act as an advisory committee to the Chair for selection or election of faculty members to Departmental, College, and University committees. The FAC also may be requested by the Dean to assist in the formulation of procedures for review and/or appointment of the Chair.

The FAC will meet periodically with the Chair as needed to discuss issues or gain administrative perspective of issues, but can meet without the Chair present. The Department Chair and the FAC chair (in consultation with the
FAC membership) will together determine the issues to be addressed and set the meeting date and time. FAC meetings are open to all Regular Department Faculty and attending faculty may participate in the discussions. Agenda items will be circulated to all members of the Department faculty at least one week in advance of the FAC meeting. The FAC Chair or a designated member will keep minutes of each meeting. These minutes will be reviewed, amended if needed, and approved in a timely manner before distribution (e.g., within 2 weeks of the meeting) to all regular faculty. The FAC may conduct some business matters via email or by telephone to expedite decisions or gain the opinions of members who can not come to a face-to-face meeting. Any business conducted electronically or by telephone will also be included in minutes and distributed to the entire faculty. Matters of a highly personal nature will not be distributed as part of the minutes but will be kept as part of the permanent committee record.

b. Graduate Studies Committee (GSC)

The GSC monitors graduate faculty membership status and serves as the administrative unit of the graduate faculty for all matters pertaining to the graduate and residency programs in the Department of Veterinary Biosciences including student admission, transfer, policy matters related to the graduate school or program, and fee waiver issues. The GSC will be composed of five elected graduate faculty members (categories M and P) and one elected graduate student from the Department of Veterinary Biosciences. The Graduate School defines what the GSC is authorized to administer. The reader is referred to the OSU Graduate School Handbook for a more detailed listing. Summary reports of actions taken by the GSC will be communicated at Department faculty meetings and are subject to approval, modification, or reversal by a majority vote of all the voting graduate faculty members in the academic unit. GSC issues, other than admission, must be approved by at least four positive or negative votes (six member committee). Tie vote issues will be brought to the entire Veterinary Biosciences graduate faculty. Any member may request that an issue be brought to the attention of the entire graduate faculty. Supplemental policies and responsibilities pertaining to this Department; rules for admission to the Veterinary Biosciences graduate faculty; and policies and guidelines on the composition, nomination to and election procedures for membership to the GSC are found in the most recently revised Graduate Program Handbook of the Department of Veterinary Biosciences. A summary from that document includes procedures to elect the GSC Chair by eligible graduate faculty during a Department faculty meeting and term of this office (i.e., 3 years, renewable, and normally begins July 1st). Four other graduate faculty members will be elected to serve two-year terms on the GSC. The graduate students of the Department will elect the graduate student who serves as a voting member of the GSC.
c. Excellence in Education Committee (ExE)

The Excellence in Education Committee is composed of teaching team leaders, interested faculty significantly involved in the education mission of the Department, staff, and student representatives. The Committee has no set number or terms, but generally will be reformed to allow interested members to join and remain an effective group. The Committee meets approximately every 6 weeks or as needed for specific projects. Their mission is to implement those aspects of the Department’s Strategic Plan related to education with concentration on the professional veterinary curriculum. The Committee serves to develop educational forums that promote improvements in teaching methods, exchange of course materials between faculty, development of specific teaching incentive plans, etc. The Committee serves as an advisory committee to the Chair to discuss and prioritize the education initiatives of the strategic plan. Included in their charge are projects such as: methods to promote communication of best practices in teaching and evaluation of teaching, work with the College Educational Resources Office to promote new methods of teaching including continued use of current technology to enhance the deliver of education to students and for faculty enrichment to promote excellence in teaching. The Committee also seeks ways to suggest reward or incentive mechanisms for outstanding teaching and promote the acquisition of appropriate infrastructure to improve the classroom or instructional materials. The Committee promotes methods to enhance communication, both within the department and the college, to promote a shared understanding of education mission, as well as a shared understanding of the resources necessary to meet the education mission of the department and college and promote both collegial interactions.

d. Department Promotion and Tenure Committee (DPTC)

The DPTC is composed of all regular faculty members with the rank of Professor with primary appointments in the Department. However, composition of the DPTC will be enlarged to include tenured associate professors with primary appointments in the Department when considering probationary faculty for promotion to rank of Associate Professor with tenure, for fourth-year reviews, and for special reviews of probationary faculty. The members of the DPTC will agree to abide by the policies and procedures in this document. Excluded from the committee for purposes of discussion and voting on candidates for promotion and tenure, promotion, and fourth-year review are: College or University administrators with academic appointments in the Department; the candidate’s dissertation chair; and faculty who are related to the candidate by means of family, business activities external to the University, or in some other capacity that
they feel will prevent them from being objective in their decision. The Department Chair is excluded from voting only. One member of the committee at the rank of Professor is elected by simple majority of the committee as Chair of the DPTC for a term of 3 years. One member of the committee at the rank of Professor will be elected by the membership to serve for the academic year as the Procedures Oversight Designee (POD). He/she will be responsible for assuring that reviews for all faculty members are procedurally correct, fair, based on performance, and free of bias against under-represented groups. More detailed policies and guidelines of the DPTC are located in this *Pattern of Department Administration* document.

**C. Assignment of Resources and Support Services**

The Department of Veterinary Biosciences has an obligation to effectively use its resources and support services to fulfill its mission of education, research and service. It is the responsibility of the Department Chair, after appropriate consultation with the FAC, to equitably and fairly distribute Department services and resources. The items listed below are not intended to be exhaustive but to provide examples of Department resources and support services that facilitate faculty teaching, research or service programs.

1. **Research Space Assignments**

   a. **Statement of Policy:** Faculty members of the Department shall be assigned research space according to the needs of their research program, and the availability of research space. It is the responsibility of the Department Chair to negotiate research space with each faculty member and to accommodate the needs of research programs of those faculty members according to the guidelines established by Department and college mission statements and administrative policies. The Dean of the College has the ultimate responsibility for the administration of all college space and shall accommodate Department and faculty research needs as resources permit.

   b. **Definition of Research Space**

Department research space, defined by OSU policies of space inventory, is obtained by negotiation between the Dean and the Chair. The Chair of the Department, governed by Department Pattern of Administration, administers Department space and the Dean regularly assesses its efficient use. The Dean shall supervise new research space (as defined by the OSU Facilities Planning Office) added through construction, and this space shall be designated as College space until it is assigned to an academic department for a specific faculty member and/or for a specific research program. During
this assignment, that research space shall be designated as Department space and shall be administered by the Department according to its pattern of administration.

c. Research Space Assignment and Reassignment

The primary responsibility for assignment of Department research space to individual faculty or research programs rests with the Department Chair. The Chair will consult with the Faculty Advisory Committee and other appropriate *ad hoc* infrastructure committees when conflicts occur over space assignments. If the Department Chair cannot resolve Department research space needs within Department resources because of insufficient space, or if space needs of faculty cannot be accommodated, the Department Chair may negotiate with the Dean for additional space. The Dean, in turn, shall seek recommendations from the Council for Research or designated Research Committees for resolution of Department research space needs.


d. Criteria for Assignment or Reassignment of Department Research Space

- The Department Chair in making decisions of research space assignments shall use the following ranked priorities for use of research space:

- Department tenure-track faculty approved by the OSU Office of Research funded as principal investigators by multiyear extramural research support funds that provide monies for the full indirect costs of the project. Full indirect costs are defined as the current negotiated rate by OSURF for conventional research projects and clinical research projects.

- Newly hired Department tenure-track faculty approved by the OSU Office of Research who have substantial research time commitments outlined in their letter of offer and who are supported by Department start up packages compatible with this research commitment.

- Department tenure-track faculty approved by the OSU Office of Research funded as principal investigators by multiyear extramural research support funds, which provide monies for partial payment of the indirect costs of the project.

- Department tenure-track faculty approved by the OSU Office of Research funded as principal investigators by internal research support funds wherein indirect costs are not provided by the grant.
• Department tenure-track faculty approved by the OSU Office of Research formerly funded as principal investigators by external research support grants and who are actively seeking renewal funding or new research grant support. It is anticipated that these faculty will provide the Chair or Faculty Advisory Committee with materials (copies of grant proposals, critiques, etc) that document this effort.

• Department tenure-track faculty approved by the OSU Office of Research funded as principal investigators by internal research support grants that are actively seeking renewal funding or new research grant support. It is anticipated that these faculty will provide the Chair or Faculty Advisory Committee with materials (copies of grant proposals, critiques, etc) that document this effort.

• Criteria for Reduction or Loss of Assigned Research Space

Because of the limited availability of Department and college research space, its utilization will be reviewed and justified regularly at the time of annual faculty and staff reviews in accordance with strategic research plans and unsatisfied space needs. When research space is available to accommodate funded research programs, non-funded faculty shall be given ample opportunity to develop further funding for his or her research program to continue. Therefore, Department considerations for research space re-assignment should be based also upon documentation of the occupant’s research plans and probabilities of success in developing research funding. Whenever possible, a period of two non-funded years shall be granted to the faculty member. In this case, documentation of progress by the non-funded faculty member to obtain extramural research funding must be sustained. Research space may be shared with other faculty or re-assigned to other faculty members as recommended by the Department Chair or, if necessary, by the Dean.

2. Office Space Assignments

The Department Chair will assign faculty, staff, and student office space as appropriate for job title and duties. In making the assignments all efforts will be made by the Chair to place office space in convenient locations and be of sufficient size and appropriately configured to accommodate the activities of the faculty, staff, or student. Regular faculty will be given office space priority. When available emeritus and adjunct faculty may be assigned office space. Other factors that will be considered in making the decision of the Chair on office assignments include,
but are not limited to, job productivity, years of service, job title or rank, location in relationship to research, teaching, or service laboratories, enhancement of programmatic synergy, and recruitment priorities.

3. Core Service Groups

The Department supports core services in pathology, clinical pathology, imaging, immunohistochemistry/histology/mouse phenotyping, and molecular biology. The Chair based upon their expertise and willingness to serve selects core directors from tenured regular faculty. These core groups are designed to manage resources effectively and provide coordinated approaches to core services that assist in the research, education, and service missions. These cores have developed fiscally responsible and efficient written plans of operation that are academically driven, but budget sensitive. The cores are designed to be operationally independent, but fully integrated into the missions of the Department. The faculty director of each of the core services develops policies of services and collects operational data. These data will be used in financial decisions related to Department resources. Infrastructure plans for each core (e.g., renovations, space utilization) for the service laboratories are to be prioritized in context to overall Department infrastructure. Each core will take advantage of and encourage opportunities to improve or expand the state-of-art technology that furthers the research, education, or service missions of the Department, provide website descriptions that outline the services and fees and present annual updates to the Chair and faculty of operational data. These laboratories, to recover costs of personnel and supplies, may assess user charges.

4. Administrative and Secretarial Services

Administrative and secretarial services will be accessible to all faculty, staff, and graduate students. Secretarial personnel provide assistance with word processing, faxing, copying, scheduling, and other communication assistance. Business office support services provided by the Department include: processing of requisitions for supplies, services and equipment, travel arrangements and reimbursements, fiscal assistance that provides monthly balances on all separately funded research projects, grants or other accounts; budget preparation and special fiscal reporting services; and personnel actions that include processing monthly appointments, hourly payrolls, and benefits.

5. Laboratory Support

Central glassware preparation and laboratory support services benefit graduate research and teaching programs in the Department. Among the services provided by this centralized operation are: decontaminating, washing, checking, sterilizing and restocking of glassware and plastic ware, inventory and dispensing of laboratory chemicals and controlled drugs, sorting and dispensing of laundry,
preparation of fixatives, maintaining supplies of liquid nitrogen, dry ice, cylinder gases, receiving and delivering of supply orders and equipment, inventory of capital equipment, stocking office materials, communicating and expediting building service requests, facilitating compliance with OSHA and fire and safety codes, and monitoring preventive maintenance contracts for shared-use equipment and annual biohazard hood certifications. A cost-sharing recovery system is associated with the central glassware and laboratory support service.

6. Technical and Environmental Health and Safety Support

The Department provides salaried staff positions to support core services and to promote environmental health and safety for the faculty, staff, and students. These include technicians in core service groups and research technicians. Decisions to support research technicians are made by the Chair in context to faculty recruitment goals, department needs, and available resources. The Chair shall consult appropriate faculty committees (e.g., Core Service Committee) to determine the best use of Department supported technical positions. Staff members will be trained to encourage and promote environmental health and safety in the Department including promotion of occupational safety to encourage a safe working environment and comply with University and State of Ohio requirements for occupational and environmental safety in the workplace.

D. Responsibilities of the Principal Investigators for Sponsored Research

The following apply to all faculty seeking or managing sponsor funded projects and emphasize key aspects Ohio State University Research Foundation (OSURF) policies and resources available to assist PIs. Complete information on OSURF and other grants management policies can be found at: (http://research.osu.edu/).

All principal investigators (PI's) must periodically review all their sponsored research grants and provide correct personnel assignments and percent effort (release time forms) to accurately reflect the personnel efforts in all cases. These should be aligned with the PA005 Off Campus Funding Request forms on the proposals. The PI must appoint all personnel on your extramurally funded grants to reflect their actual percent effort on the projects. All PI's must document their percent effort in total for all their activities to ensure that they are not over 100% committed on their projects as a whole. The PI must review the expenditure rates on grants with unspent balances of over or under 25% of the annual funds or carry over funds. Adjustments should be made in spending rates to provide a target of unspent balance on all grants to within the target of no more than 25% unspent balance.

After a sponsored agreement has been accepted the Research Foundation assigns a project number. The PI is then responsible for initiating all project-related transactions. PIs are also responsible for submitting requisitions for any equipment, supplies, and services needed for the project. Staff is hired by requesting that the Human Resources Professional (HRP) in the PI's department enter the appropriate job description into the
university's HR system for review and approval. The HRP will also enter appointments into the HR system. The PI and the HRP should work together to ensure that during the course of the project, personnel appointments are appropriately updated and the funds are in place to support personnel assigned to the project. Prior to undertaking any sponsored project, it is important that all PIs understand the administrative requirements of the project. Every individual who participates in a Research Foundation administered project (except fellows, trainees and research subjects) is required to sign and return a copy of the Ohio State University Sponsored Project Participation Agreement (Form PCA-03). It is the PI’s responsibility to ensure that required technical progress reports are submitted to the sponsor on time.

One of a PI's responsibilities is to monitor project expenditures and commitments and make sure that they do not exceed the project budget. To support this activity the Research Foundation provides current project financial data as well as month end financial statements through the PI Portal at the web site eResearch.osu.edu. While a PI may designate other persons as "Authorized Signers" for the project, the PI retains responsibility for ensuring that the project is conducted within the authorized budget. If a project ends with an over expenditure, the Foundation transfers the direct cost portion of the over expenditure to the PI’s department. Unspent funds that are in excess of 25% of the budget funds will require justification to retain these from NIH.

1. **Release Time Appointments**

Release time appointments occur when a department and college approve the *release* of an individual to enable them to participate on one or more sponsored projects. Release time appointments forms are submitted to the Research Foundation Project Payroll Department. Such cost sharing must be documented through a Release Time Appointment (Form GA-004). These forms are to be submitted for those appointments where the department and the college "release" some portion of an individual's time to participate in a sponsored project. The form is found at http://rf.osu.edu/forms/index.cfm. The release time appointment has no effect on the basic pay arrangement of the employee. Release Time consists of two types, i.e., sponsor and cost sharing:

**Sponsor:** Refers to time charged against project funds for which the university is reimbursed through the Research Foundation.

**Cost-Sharing:** Refers to time reported on the sponsored program and allocated to the Ohio State University contribution portion of the monthly Project Financial Summary. See the instructions and copy of the Release Time Form in Forms.

Faculty seeking to perform sponsored research must request support on all extramural research proposals, unless not permitted by regulations of the funding agency. The PI must appoint all personnel on extramurally funded grants to reflect
their actual percent effort on the projects. The release time funds generated will be used to promote scholarly activities in the Department. Release time extramural funds generated by regular faculty members will be divided as follows: 60% to the faculty member who generated the funds to enhance his/her research and graduate teaching efforts; 40% to a Department account managed by the Department Chair to be used at his/her discretion to promote research and graduate teaching activities in the Department. The above policy refers only to release time dollars generated from extramural sources; intramural release time dollars will be evaluated on a case-by-case basis. Department release time funds will be used for (but not limited to): graduate student interim stipend support, equipment repair, honoraria or travel expenses for seminar speakers, startup packages for new faculty, faculty interim (bridging) research support, and minor research laboratory renovations. Application for these funds should be made to the Department Chair in writing and include adequate justification and estimated cost. A record of all requests will be kept on file and available to all regular faculty members upon request.

2. Audit Requirements

Sponsored agreements funded with public money (federal, state, and local government awards; subcontracts under government prime grants and contracts) are subject to full review of all project activity (program and financial) by auditors. All project activities must comply with sponsor terms and conditions and with all applicable regulations. The electronic Time and Effort Reporting System (e-Cert) resides on the Research Foundation's web site and produces an electronic Time and Effort Report detailing each employee's compensated and cost-share effort(s) for sponsored research. These reports must be certified by the primary investigator of the project. Sponsored research effort is calculated as a percentage of an individual's salary/wages. One person may have multiple appointments listed on the report and the percentages may vary on a project-by-project basis. The Department faculty involved in sponsored research will be required to conform to all current federal guidelines and policies administered by the OSU Research Foundation, the College, and the Department.

E. Graduate Tuition and Fees

Current budget models of the University transfer graduate tuition and fee funds to the College and subsequently to the Department. These policies recommend that the College and Department use these funds only for the intended purpose of paying graduate student tuition and fees. These policies also recommend that the College and Department fund increases in graduate tuition and fees beyond the base formula calculated by the University in 2002. To enhance this resource for graduate student stipends, all faculty members are strongly encouraged to submit, where allowed by the granting agency, the cost of graduate student tuition and fees in research or educational grant proposals. Cost related to graduate tuition and fees that exceed the graduate...
tuition and fee pool would be paid from Department discretionary funds. The Department Chair and fiscal officer, in consultation with the Graduate Studies Committee, will review this policy annually, to ensure that the Department discretionary funds are not severely depleted by cost overruns of the tuition and fee fund. In such a situation, appropriate fiscal actions will be made by the Department Chair and Graduate Studies Committee to protect the graduate tuition and fee fund, without depleting the ability of the Department to utilize discretionary funds for other programmatic support efforts. As all policies related to the faculty, majority faculty vote after appropriate consultation of the faculty, will be followed. The non-resident portion of graduate tuition remains centrally funded by the University.

VI. FACULTY WORKLOAD DUTIES & RESPONSIBILITIES

A. Assignments

The Department Chair is primarily responsible for assuring that every faculty member has appropriate duties and responsibilities based upon their appointment status that will contribute to the Department's mission of achieving excellence in teaching, research and service. Variations among individual faculty members in the balance of these three areas of activity are expected, and may be related to the type of appointment and stage of career. This variation results from agreement with the Dean, Chair and the faculty member. When such a variation occurs, excellence is still expected and the relative proportion of effort dedicated to specific activities will be adjusted. While there is considerable freedom built into faculty members' work in the Department, there are certain obligations that all faculty members are expected to meet. These obligations include: course commitments, attendance at Department faculty meetings, assigned committee meetings, Department retreats, and other scheduled Department events. Whereas faculty direct their research or other scholarly activity, the Chair will assign teaching and, in most cases, Department service responsibilities. In making these assignments, the Chair will balance the needs of the Department with the talents and preferences of the faculty member. The Chair uses the following guidelines in addition to those found elsewhere in the Pattern of Department Administration as a basis for discussion with faculty during the annual review. All faculty members have the right to review his or her primary personnel file to review all information including information related to their responsibilities and expectations and to submit for inclusion in the file a written comment on any material contained therein.

B. General Expectations

The following outlines the general responsibilities of faculty in the Department and is included as a reminder in the annual review for all faculty members. Research is considered an important part of the Department's mission. Each faculty member with a research appointment (e.g., regular tenure-track, research track) is expected to have a focused program of research leading to recognized stature at national and international levels. The focus and scope of a faculty member's research program should reflect
professional interests as well as Department goals, including serving as a basis for
graduate education and research training. In addition, these faculty members are
expected to obtain extramural and intramural funding to support their research programs.
Published accounts of research, particularly peer-reviewed publications in scholarly
journals, are the primary indicators of consistent high-quality research productivity. In
addition, all regular tenure track or research track faculty members or their graduate
students should present the results of their research at regional, national or international
meetings or workshops on a regular basis to solicit greater peer-review and enhance the
overall recognition of the individual’s and the Department’s research programs. In the
professional curriculum, there are two categories of courses taught: core courses and
elective courses. For core courses, the Chair assigns or approves assignment of faculty
to teaching and course implementation teams according to their interests, appointment
status, expertise and availability. Elective courses are designed and taught by individual
(or small groups of) teaching faculty based upon their interests, expertise and perceived
need for such a course. Every faculty member is expected to have at least Graduate
School Category M status and will be assigned an appropriate level of teaching
responsibility in one or more of the Department graduate courses. All eligible faculty
members are encouraged to serve as an advisor for graduate students and seek funds to
support their stipend and research projects. Faculty members are expected to be
available for interaction with students, service assignments, and other responsibilities
even if they have no formal course assignment during the quarter. Veterinary
Biosciences faculty members are expected to actively engage in various aspects of
service, which include Department, College, and University service, but also service to
national organizations. The Chair’s approval of service assignments will be balanced
between the overall level and scope of service demands placed on the Department and
the availability and stage of career development of the individual faculty member being
considered to fulfill the obligations.

C. Duties and Responsibilities by Type of Appointment

1. Regular Tenure-track Faculty

   a. Teaching Assignments

   Teaching is an important part of the Department's mission. The Department
   makes every effort to create an environment with infrastructure and support
   facilities that will provide incentives conducive to involvement in high-quality
teaching. The Department’s instructional goal is to provide students with the
highest quality educational experience to prepare them for positions of
responsibility and leadership in public and private sectors. To accomplish
this, faculty members are expected to possess knowledge of core material
in their specialized field and the appropriate pedagogical skills for classroom
teaching and small group discussion.
The Chair is responsible for the teaching performed by Department faculty members. In the professional curriculum, there are two categories of courses taught: core courses and elective courses. For core courses, the Chair, in consultation with the faculty involved, assigns or approves assignment of faculty to teaching and course implementation teams according to their interests, expertise and availability. Elective courses are designed and taught by individual (or small groups of) teaching faculty based upon their interests, expertise and perceived need for such a course. State-supported graduate teaching assistants, when available, will be assigned to support laboratory instruction in the professional curriculum (e.g. gross anatomy, histology, veterinary clinical pathology, and applied veterinary pathology). Auxiliary faculty or contracted teaching consultants include those persons appointed to carry out instructional responsibilities dictated by enrollment demand or by the special needs of an academic unit. Because their primary responsibility is teaching, part-time faculty are not usually expected to engage in other University duties. The actual assignment of instructional responsibilities for a part-time faculty member will be determined by written agreement with the University.

Every faculty member is expected to have at least Graduate School Category M status and will be assigned an appropriate level of teaching responsibility in one or more of the Department graduate courses as listed in the current issue of the *OSU Bulletin of Course Offerings*. These graduate course offerings cover a wide range of topics representing the breadth of faculty expertise in the Department. All faculty members are encouraged to serve as an advisor for graduate students and seek funds to support their stipend and research projects.

Faculty members are expected to be available for interaction with students, service assignments, and other responsibilities even if they have no formal course assignment during the quarter. Faculty members should not be away from campus for extended periods of time unless on an approved Special Research Assignment. *Faculty Rule 3335-5-08* requires that the Chair, Dean, and Provost approve a proposed absence from campus.

Guidelines for teaching assignments of most regular faculty should range between 20-50% of time based on a quarterly average minimum of 40 hr/wk. Examples of activities that are included under the Department teaching mission include, but are not limited to:

- Lectures (Classroom Instruction)
- Laboratory/Demonstration/Field Experience/Clinical Rotations
- Small Group Instruction (e.g., Applied Veterinary Pathology, Clinical Pathology Laboratory and System-based seminars, Gross Anatomy and Histology Laboratories, Case presentations, etc.)
b. **Research and Other Scholarly Activities**

Research is considered an important part of the Department's mission. The Department makes every effort to create an environment with infrastructure and support facilities that will provide the incentives conducive to involvement in high-quality basic, translational, and clinical research. Each faculty member is expected to have a focused program of research leading to recognized stature at national and international levels. The focus and scope of a faculty member's research program should reflect professional interests as well as Department goals, including serving as a basis for graduate education and research training.

Faculty members are expected to obtain extramural and intramural funding to support their research programs. If a faculty member is not currently funded, they should be actively involved in submitting grants to obtain funding. This involves the submission of research grant proposals to national and local agencies on a regular basis and revising declined grants for resubmission. As a prerequisite to this effort, every faculty member of the department is required annually (or at the time a new transaction or activity is proposed) to file an OSU Conflict of Interest Screening Form when: 1) they are currently engaged in externally funded research, 2) anticipate making application to an external sponsor or donor for funding, 3) perform consulting, or 4) have other business interests that may create potential conflicts of interest. All faculty members are expected to comply with College Conflict of Commitment policies and complete currently approved leave of absence forms and associated documents for any time spent away for their OSU assignment.

Published accounts of research, particularly peer-reviewed publications in scholarly journals, are the primary indicators of consistent high-quality research productivity. Evidence that the research has had state, national, and international influence is important and enhances the likelihood for
sustained extramural funding. Full-time faculty members are expected to publish on a regular basis in high-quality, peer-reviewed scientific journals in their field of specialization. Faculty members are responsible for documenting their contribution when there are multiple authorships. Consideration will be given to the type of research reported since some disciplines require more resources and time to conduct and publish research results. Textbooks and edited volumes that are intended to be used for instruction are judged as scholarly output. Published review articles in high-impact journals that require substantial investigation are also considered as scholarly output. In addition, all regular faculty members or their graduate students should present the results of their research at regional, national or international meetings or workshops on a regular basis to solicit greater peer-review and enhance the overall recognition of the individual's and the Department's research programs.

While the Department cannot fund research projects, important contributions to the support of research can be made. The Chair's office will assist faculty members as they seek intramural and extramural research support. The Chair in consultation with the FAC and the Dean will evaluate requests for laboratory space and assignments/reassignments will be based upon current research space policies in the College and Department (outlined above) based on research productivity and level of research funding. State-supported laboratory assistants, when available, will be assigned on a priority basis to support multi-user teaching resource and research service laboratories and junior (tenure-track) faculty. The Chair can negotiate with faculty members a reduction in teaching or service assignments during the academic year when it becomes necessary to complete research objectives on funded extramural grants.

Guidelines for research and other scholarly activity of regular faculty should range between 25-75% of time based on a quarterly average minimum of 40 hr/wk. Examples of activities that are included under research and scholarly activities include, but are not limited to:

- Experimental Design
- Writing Research and Training Grants
- Laboratory Bench Time
- Data Analysis
- Writing for Publication (Research Papers, Book Chapters, Symposia Articles)
- Direction of Research Centers and Central Support Facilities
- Laboratory Management (defined below)¹

¹Maintaining animal or human subject approvals; obtaining licenses; personnel hiring and supervision; procurement of supplies; responding to inspections and surveys; initiating renovations; equipment
Journal Editing/Editorial Board Duties
Review of Research Grants
Research Presentations at Local, Regional, National and International Meetings or at academic/research institutions
Preparation of Annual and Final Reports
Professional Development
Initiating and Maintaining Collaborative Research Arrangements

c. Service Activities

Service is an important part of the Department's mission. The Department makes every effort to create an environment with infrastructure and support facilities that will provide incentives conducive to involvement in high-quality service. Veterinary Biosciences faculty members are expected to actively engage in various aspects of service. The Chair's approval of service assignments will be balanced between the overall level and scope of service demands placed on the Department and the availability and stage of career development of the individual faculty member being considered to fulfill the obligations. Examples of service activities are: 1) administrative and committee service to the Department, College, and University; 2) professional and diagnostic support services to the Veterinary Teaching Hospital, Columbus Zoo, and in other University programs of avian medicine and laboratory animal medicine, among others; and 3) professional expertise to public and private entities beyond the University in the form of consultation, continuing education, advising student organizations, participation in national committees, National Institute of Health study sections, panels of experts, among others. State-supported residents, when available, will be assigned to the clinical laboratory service programs that support the teaching activities of the Veterinary Teaching Hospital.

Guidelines for participation in service activities by regular faculty should range between 10-30% of time based on a quarterly average minimum of 40 hr/wk. Specific examples of activities that are included under service activities include, but not limited to:

- Clinical Laboratory (Hematology, Cytology, Clinical Chemistry, Toxicology)
- Applied Pathology (Necropsy & Surgical Pathology)
- College Committees (e.g., Admissions, Councils of Research and Education, Search Committees, etc.)

acquisition and repair; monitoring of radiation safety; disposal of chemicals and infectious wastes; training of staff and student employees.

Revised June 2007
2. Regular Clinical Track

Regular clinical track faculty appointments are fixed term contract appointments that do not entail tenure. Regular clinical track faculty members are teacher/practitioners and shall be engaged primarily in teaching activities related to clinically focused education and service activities, e.g., courses or instructional situations involving professional skills. In the Department, the regular clinical track is intended for faculty members whose primary contribution is in teaching, with particular emphasis on teaching in areas of professional practice. Because of this, regular clinical track faculty members must demonstrate excellence in teaching and service/professional practice. They are also expected to contribute to the scholarly mission of the Department in ways appropriate to their other activities. These may include collaboration with others in research activity, publishing in the professional literature, making presentations at professional meetings, developing continuing education offerings, and developing educational innovations.

a. Teaching Assignments

Teaching assignments would be similar to those above for regular tenure-track faculty, but with particular emphasis on teaching areas related to a professional discipline such as veterinary pathology. Regular clinical track faculty members have important roles in teaching and may have a greater percentage of their time and effort devoted to the educational mission of the Department. For Regular Clinical Track faculty, the percent time devoted to teaching will be defined by the department chair in accordance with the needs and mission of the department. Regular Clinical Track faculty who are eligible for Category M will be nominated for that status. By Graduate Department rule, Category P membership generally is reserved for faculty with regular tenure track appointments of 50% or more. The Graduate
Studies Committee will consider special requests from non-tenured track faculty for category P status.

b. Collaborative Research and Scholarly Activities

Regular Clinical Track faculty members will engage in scholarly activity, which may include activities other than traditional research. Scholarly activities may include but are not limited to collaborative research, development of teaching cases, case reports, book chapters, retrospective and prospective studies, technical bulletins, writing for practice-oriented audiences, involvement in continuing education courses, and curriculum development.

c. Service Activities

For Regular Clinical Track faculty, the percent time devoted to service will be defined by the department chair in accordance with the needs and mission of the department and be congruent with the faculty members letter of offer or current agreed upon service responsibilities.

3. Regular Research Track

Regular research track faculty appointments are fixed term contract appointments that do not entail tenure. Research track faculty members are researchers and shall be engaged in research related to the mission and goals of the academic unit. The regular research track allows certain faculty members the opportunity to work almost exclusively in research and scholarship consistent with the mission of the Department and the university. Persons in the regular research track may engage in limited educational activities, but classroom teaching cannot be a required part of the workload. In addition, regular research track faculty must not be engaged continuously in the same instructional activities as tenure-track faculty. Regular research track faculty members are expected to achieve excellence as researchers, demonstrated both by the quality of the work and the ability to attract external support. Persons appointed to the regular research track must obtained extramural support for 100% of their salary within their first 2 years of support congruent with their letter of offer. The Department or College may only provide initial funds (e.g., 30% of salary limited to the first 2 years of appointment) to assist in establishment of their research program.
a. Teaching Assignments

Persons in the regular research track may engage in limited educational activities, but classroom teaching cannot be a required part of the workload. In addition, regular research track faculty must not be engaged continuously in the same instructional activities as tenure-track faculty.

b. Research and Scholarly Activities

Regular research track faculty members in the Department are expected to develop a program of research that will build the scientific base for public health education and practice and advance the research mission of the Department. In general, the evidence of a program of research for a faculty member is the consistency and effectiveness with which the faculty member is engaged in creative activity of high quality and significance with an area of emphasis. Scholarly activities related to research are expected to be similar or exceed that of regular tenure-track faculty with primary research appointments and include similar activities as for tenure-track faculty.

c. Service Activities

While regular research track faculty are not hired to perform clinical service they may be asked to perform appropriate governance service such as committees e.g., faculty search committees, College Research Council, etc. Regular research track faculty may contribute to national service appropriate for their appointment e.g., NIH Study Sections, editorial boards of peer-reviewed scientific journals, etc.

D. Disclaimer

The above faculty workload policy does not constitute a contractual obligation. Fluctuations in demands and resources in the Department and the individual circumstances of faculty members may warrant temporary deviations from the policy.

E. Policy on Paid External Consulting, Conflicts of Interest, Conflicts of Commitment

1. Faculty Members Responsibility

a. Faculty members in the Department accept an obligation to avoid conflicts of commitment in carrying out their University education, research, scholarship and service responsibilities. Conflict of Interest or Commitment policies are intended to assist faculty members, including administrators and staff with faculty appointments, in avoiding these conflicts and in finding a
balance between activities that enhance the University’s core purpose—to advance the well-being of the people of Ohio and the global community through the creation and dissemination of knowledge—and those that detract from it.

b. Many faculty members voluntarily take on a variety of professional activities that fall outside the Department's scope of faculty duties and responsibilities. Participation of faculty in activities of government, in industry, and in other private institutions generally serves the academic interests of the University. As a result of such activities, the people of Ohio benefit from the dissemination of knowledge and technology developed within the University and students benefit from experiences faculty bring to the classroom. Moreover, the University shares the professional experience and recognition that such participation brings to the faculty member indirectly. A conflict of commitment exists when external or other activities are so substantial or demanding as to interfere with the individual’s teaching, research, scholarship or service responsibilities to the University or its students.

2. External Consultation

a. Faculty members are allowed to engage in paid external consulting to the extent that these activities are clearly related to the mission of the University and the expertise of the faculty member; provide direct or indirect benefits to the University and do not entail a conflict of interest or commitment as defined in the current College (available on the College Intranet at: https://intranet.vet.ohio-state.edu/assets/pdf/administration/committees/conflict/CCICCPolicy.doc) and OSU Conflict of Interest and Commitment Policy (http://oaa.osu.edu/handbook/conflictofcommitment.html); infringe on the University's intellectual property rights or; are in violation of State of Ohio laws. Faculty members are personally responsible for any damages or claims for damages which may arise in connection with their consulting activities. The limited immunity conferred by the current Ohio Revised Code does not apply to consulting. Additional information about the requirements of Ohio law may be obtained by consulting the OSU Office of Legal Affairs (http://legal.osu.edu/olaindex.php).

b. Department full-time faculty members, including administrators with faculty appointments, owe their primary professional allegiance to the University, and their primary commitment of time and intellectual energies should be to the education, research, service and scholarship programs of the institution. The Department policy regarding Conflict of Interest and Commitment will be congruent with the currently approved College policy
Faculty members in the Department are encouraged to disclose and discuss external commitments with the Department Chair or Dean. If an activity cannot be managed by the faculty member and in concert with the Chair or Dean to avoid a conflict of commitment or the reasonable appearance of a conflict of commitment, the faculty member must refrain from participating in the activity.

c. Failure to comply with the University and College policies may result in administrative or disciplinary actions against the faculty or staff member in accordance with the procedures set forth in Faculty Rule 3335-5-04. If the conflict of commitment involves a research project administered by the University, whether or not that administration is through the Ohio State University Research Foundation, any action required by funding or regulatory agencies will also be taken. The procedures for reporting such conflicts and management plans are provided by the Office of Academic Affairs in consultation with the University Conflict of Interest Policy Advisory Committee.

3. Core Criteria for External Consultation

a. External consulting activities that benefit or bring credit to the Department or University will, to the extent possible, be taken into account in considering a faculty member's total workload. However, fairness to other faculty and the Department's need to meet its programmatic obligations may become issues when a faculty member seeks replacement from Department obligations in order to devote considerable time to personal professional interests that may not contribute to Department goals. Outside professional externally compensated activities that require leave from the University should adhere to the following core criteria:

- Be legal as defined by the State of Ohio Veterinary Medical Licensing Board and the Ohio Revised Code.
- Must benefit the College of Veterinary Medicine and the University.
- Not create liability for or embarrass the University or College.
- Not endanger intellectual property, either actual or potential, or belonging to the University.
- Not compete with an activity occurring within the College that deprives, interrupts or infringes upon the educational mission or financial activities within the College.
- Be disclosed, and approved by the department chair or appropriate administrative head using applicable University and College forms.
- Not create a burden for other faculty colleagues. If external activities occur during regular on-duty business hours, the impact must be managed and the plan for management should be agreeable with the affected faculty and approved by the department chair.
- Not damage or impair the flow of teaching or patient care in the hospital or classrooms or diminish the faculty members' effectiveness in their job performance. This may be determined by the department chair in consultation with section heads, hospital director, Associate Deans and/or the Dean.

b. Ultimately the interpretation of external activities relative to these core principles will rest on the judgment of the department Chair or appropriate Administrative Head. In the event the faculty member disagrees with the Department Chair’s (or appropriate administrative head’s) decision regarding the outside activity requested, the faculty member may appeal this decision. The Dean and the College Executive Committee will serve as the peer review committee for any disputes. The Dean will ultimately resolve any conflicts.

4. Guidelines and Documentation

a. As a general rule, the proportion of a faculty members’ professional effort devoted to consulting should not exceed one business day per week. Prior approval to engage in activities that fall outside the Department’s scope of faculty duties and responsibilities must be obtained for each activity by submitting a College Application for Leave Form and University Faculty Consulting Approval Form, to the Department Chair and Dean (see Guidelines below and Appendix).

b. A request must be submitted for each specific service describing the nature of the intended professional activity. For continuing outside service, a request may be submitted at any time during the academic year but may not cross fiscal years. If a faculty member engages in paid external consulting without first obtaining approval or participates in activities that have been disapproved, a complaint may be filed against the faculty member under Faculty Rule 3335-5-04. If a proposed consulting arrangement causes or could be perceived to cause a potential conflict of interest, the faculty member must file a Conflict of Interest Form along with the College Paid External Consulting Approval Form as defined in the guidelines below.

c. The Department Chair, Dean, or Provost may deny any request considered to be inconsistent with the mission, priorities, available resources, responsibilities, and best interest of the Department, College or University. A request also may be denied if the faculty member is not fulfilling his or her University responsibilities at an acceptable level. All absences from duty of one full business day or more resulting from consulting, and all absences resulting from consulting that causes a missed
d. The following guidelines approved by the College faculty in 2007 will be used by the Department:

- Prior written approval must be received from the Department Chair if faculty request University leave. This approval is required for activities related to a faculty member’s normal University duties including consultation, external CE, outreach and practice of veterinary medicine. An “Application for Leave” form (5171-A-Rev.4/03) must be completed for all faculty members requesting leave, regardless of the reason.

- External consultation is defined as providing expert advice or work product to industry, businesses, boards or other groups in return for personal compensation beyond expenses. Consultation is encouraged by the faculty within the College to develop relationships with government, private enterprise, and other off-campus organizations for the transfer of knowledge. Such consultation may result in the enhancement of the faculty member’s reputation, as well as, the college and the University. It may also result in enhanced teaching in the CVM and may redirect research interests. Faculty requesting consultation time for any purpose must fill out the “Application for Leave” form (5171-A-Rev.4/03). In addition, in most cases, must fill out the “Fulltime Faculty Paid External Consulting Approval Form” and the “OSU Financial Conflict of Interest Screening/Disclosure Form”. The performance of the consultation should not result in conflict with any of the core criteria. Certain types of external professional activities for which a nominal honorarium is received require submission only of an “Application for Leave” form when the activity requires travel or time away from the University; these activities include: 1) appearance on the program of a scholarly meeting of the faculty member’s professional (specialty) peers; 2) participation in the advisory or peer review process for foundations, professional societies, or not-for-profit boards; 3) participation in a faculty member’s professional society, board, or college; 4) reviewer activities or consultation for governmental and accreditation agencies; 5) service as an editor and/or editorial board member; and activities as a reviewer for a professional journal.

- External veterinary practice is defined as the practice of veterinary medicine as defined by the state of Ohio* which is conducted outside the confines of the University practice in return for personal compensation. Under limits specified by this policy, the practice of veterinary medicine is allowed outside the College of Veterinary Medicine. Requests to perform private veterinary practice (defined as practicing veterinary
medicine on animals owned by the general public) as externally compensated professional activities will be allowed provided they do not violate any of the core criteria. All veterinary practice outside the CVM requires a pre-approval by the Department Chair and the Dean. Faculty members who engage in veterinary practice as compensated external professional activity cannot allow their appointment in the CVM to be advertised in relation to such activities and are not covered by University/College insurance. The performance of the veterinary practice should not result in conflict with any of the core criteria. The use of College of Veterinary Medicine vehicles or equipment for externally compensated professional activity must be approved by the department chair in concert with the hospital director. In this instance, appropriate fees may be charged the faculty member providing the activity is approved and this approval must be done in advance.

- External continuing education (CE) is defined as lectures or seminars presented within the faculty members field of expertise for the purpose of providing professional education in return for personal compensation. External CE may overlap with outreach when the participants are citizens of the state of Ohio. Presentation of scientific data at peer-specialty societies or attendance of scientific conferences for the purpose of professional self-education are not considered external CE, but still require an “Application for Leave” form (5171-A-Rev.4/03). Participation in any form of external CE should not result in conflict with any of the core criteria.

- Outreach activities are defined as professional activity, advice, or consultation provided by the faculty member on behalf of the University, CVM or department. Outreach activities are delivered as part of the faculty member’s normal salaried activities, and without additional personal compensation directed to the faculty member.

- The amount of time that may be expended by college faculty on compensated or uncompensated external activities that are related to the faculty member’s university field of expertise varies depending on the nature of the faculty appointment. The University Policy on Paid External Consulting, which permits faculty to spend up to 1 business day/week engaging in expertise-related externally compensated professional activity by an outside entity, applies to regular tenure-track faculty only. However, the College of Veterinary Medicine policy on Paid External Consulting will include all regular faculty. Faculty holding clinical, research, tenure-track appointments at less than 50% who wish to engage in paid external consulting must do so during non-working hours or take vacation time or approved unpaid leave, if available.
Regardless of the nature of the appointment, faculty must be aware that expertise-related work for an entity other than The Ohio State University (compensated or uncompensated) is a privilege, not a right, and assumes continued productivity in University assignments. Time spent in compensated or uncompensated activities beyond given university assignments offers the potential for interfering with satisfactory completion of college assignments (Conflict of Commitment) or with university policies regarding Conflicts of Interest. In addition, faculty must abide by the procedures established for requesting approval for engaging in external work.

Department Chairs are responsible for working with faculty to assure that external activities are of proper scope and duration, so as to be approvable. If the Department Chair determines that the requested activity constitutes either a conflict of commitment or an unmanageable conflict of interest, approval to engage in the activity will be denied until satisfactory arrangements, such as a change in appointment or leave of absence, can be negotiated. In addition, college administrators may terminate approval for an on-going activity when the activity results in a conflict of commitment or conflict of interest. Termination of a previously approved external activity will occur according to a process developed and approved by the College Executive Committee and made known to the faculty, and will include the rationale for the action.

F. Supplemental, Off Duty Quarter, or One Time Compensation Policies

Faculty compensation in excess of the base salary may take the form of supplemental compensation, off duty quarter compensation for 9-month faculty, one time cash payment, administrative compensation, or external consulting fee. All arrangements for extra compensation require administrative approval from the Chair and Dean. The required approvals must be secured before the extra work is carried out in order for the faculty member to be compensated for the work. The Department Chair and the Dean will consider whether the faculty member is fully and suitably performing all responsibilities for which the base salary is paid, as well as the impact of the extra work on the performance of these responsibilities plus any concurrent extra compensation arrangements. Both the interest of the University and the University's responsibility as a public institution require that department faculty who are under performing in any aspect of their primary position not receive enhanced compensation.

1. Supplemental Compensation

Supplemental compensation from University, College, or Department funds is for temporary work clearly beyond the faculty member's normal assignments, in an amount appropriate to the allocation of time necessary to complete the extra
assignment. The extra assignment should be nonrecurring and clearly limited in time and scope. Supplemental compensation in excess of 20% of the base salary is rare and must be justified by unusual circumstances. Department chairs and other principal administrative officers (as defined in Faculty Rule 3335-1-03 Section R) are ineligible for supplemental compensation per the following policy: http://hr.osu.edu/policy/policy335.pdf. Internal Supplemental Compensation Approval Form is available online: http://www.ohr.osu.edu/hrpubs/forms.htm

2. **Off Duty Quarter Appointment for 9-month Faculty**

Compensation for 9-month appointed faculty may not exceed 2/9 of the base salary from University funds except for administrative attachments (see below). Supplemental compensation may not be used to exceed this limit. This compensation may not exceed 3/9 of the base salary from external grant and contract funds as long as the University funds portion does not exceed 2/9. Off Duty Quarter compensation is paid in equal payments across the three months. Nine-month faculty earning 3/9 during the Off Duty Quarter are expected to be on duty during these three months.

3. **One Time Cash Compensation**

A one time cash payment is generally an after the fact bonus for exceptional work on a non-continuing project that was not otherwise subject to extra compensation, or a negotiated bonus given upon the accomplishment of written goals. See http://hr.osu.edu/policy/policy315.pdf for additional information.

**VII. FACULTY PROFESSIONAL LEAVE AND RELATED FACULTY DEVELOPMENT POLICIES**

A. Department and University Policies and Overview of Faculty Professional Leave (FPL) Program

1. In the Department professional Leave proposals generally emphasize enhancement of research skills and knowledge. However, a Faculty Professional Leave (FPL) may be used for substantial investment in pedagogical or administrative skills and knowledge when these are judged to be mutually beneficial to the faculty member and the Department or College. The Ohio State University Board of Trustees approved a Faculty Professional Leave Program for this institution on 9/9/77 (Resolution No. 78-21) based on Statute 3345.28 of the Ohio Revised Code. Details of the OSU Policies on Faculty Professional Leaves were updated March 2, 2007 and can be found in the current OAA handbook at: http://oaa.osu.edu/handbook/ix_fpl.html.
2. 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 to that which clearly enhances the purposes of the leave.

3. In evaluating FPL proposals, the Department will 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 department 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.

4. The FPL Program is considered for any period of intensive study or research *not to exceed one academic year*.
   - A multiyear FPL need not be for a continuous period and may bridge an off-duty quarter or semester.
   - An SRA and an FPL may occur in contiguous on-duty quarters or semesters. An FPL will not be granted for less than one quarter.

5. Statute 3345.28 of the *Ohio Revised Code* specifies that only tenured faculty with at least seven years of service as a regular faculty member at Ohio State is eligible for a FPL at OSU. Years of service at another university and years served in auxiliary appointments cannot be credited toward the required years of service at the University. Further definitions and guidelines for calculation of years of service and compensation calculations are in the currently approved OAA Handbook ([http://oaa.osu.edu/handbook/ix_fpl.html](http://oaa.osu.edu/handbook/ix_fpl.html)). 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.

6. The FPL Application, approval process, and required documentation submitted to OAA are available from the OAA Handbook. Department faculty must understand and accept their obligation to return for a full year of service to the university following completion of the FPL, that supplemental compensation, or other compensation from university general funds, is not permitted during an FPL and that they are required to submit a written report of goals and accomplishments within 60 days of the date of their return to service. The FPL Report form [FPL Report PDF](#) or [FPL Report Word](#) is NOT required as long as the requested information—a brief summary of goals
and accomplishments—is submitted to the Department Chair and appropriate OAA official.

B. Special Research Assignment

1. 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.

2. The Department Chair in consultation with the Department FAC will evaluate SRA proposals to assure that the faculty member’s plan will both benefit the faculty member and advance the academic mission of the department and college. An SRA may be completed on campus or away from campus.

3. 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.

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

   - An SRA and an FPL may not occur in contiguous on-duty quarters or semesters since such an arrangement would circumvent the required salary reduction.

5. 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.

6. SRAs will be awarded on a competitive basis within the Department should more than one application per quarter be received by the Chair. The Department FAC will advise the Chair on the rank order of competing proposals should this occur within the same quarter. In consideration of the proposals the Department Chair and FAC will assure that sufficient faculty are on duty at all times to meet obligations to students and other constituencies, and to conduct regular business.
The Department will use compensation guidelines as outlined in the current OAA Handbook. SRAs will require approval of both the Department Chair and Dean of the College.

C. **Unpaid Leave of Absence (LOA)**

1. An unpaid leave of absence (LOA) may be requested by a Department faculty member for personal or professional reasons. Personal reasons may include 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. (also see Entrepreneurial Leave of Absence - below)

2. 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. All approvals must follow the processes outlined in the current OAA Handbook.

3. Leaves of absence will **not** be granted to untenured faculty in their terminal year of employment or to faculty who have accepted new permanent employment. Exceptions to this policy can be found in the current OAA Handbook.

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

5. Faculty on an unpaid LOA 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.

6. The Department Chair in consultation with the Department FAC will review applications prior to seeking approval by the Dean, Office of Academic Affairs, and the Board of Trustees.

7. To apply, a faculty member must write a letter to the Department Chair 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. 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. 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 tenure initiating unit. 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.

D. Entrepreneurial Unpaid Leave of Absence

If a company offers a regular paid position to a faculty member because of his or her expertise with a particular technical problem or process, an entrepreneurial unpaid LOA, not to exceed two years, may be appropriate. In this circumstance, the Department will follow current OAA policies and guidelines as outlined in the current OAA Handbook.

E. Exclusion of Time from the Probationary Period (see Appointments and Promotion and Tenure Sections of this document)

IX. PROCEDURES FOR HANDLING APPEALS, GRIEVANCES, AND MISCONDUCT OF FACULTY, STAFF, AND STUDENTS

A. Overview of Issues and Process

Appeals, grievances and misconduct can involve a wide range of issues. Several common types will be discussed here. The Department Chair or his/her designee will be responsible for implementation of the faculty, staff and student appeals and grievance procedures. When presented with a grievance, the Chair will consult with the Dean of the College and with appropriate University personnel knowledgeable in handling grievances (i.e., relevant Vice Provost, representatives of the Offices of Consulting Services or Legal Affairs) if there is any question regarding proper process or if the grievance includes complex issues. It is hoped that such early consultation can prevent further complication of the issues. In handling any type of grievance, appeal or misconduct, the Chair of the Department or his/her designee will communicate to others as appropriate, that retaliation of any form against a person who files a grievance is illegal and will not be tolerated.
Upon written request, faculty members will have access to his or her personnel file and will have an opportunity to respond to any document in the personnel file.

B. Promotion and Tenure Appeals (see Appointments and Promotion and Tenure Sections of this document)

C. Faculty Salary Equity Appeals Process and Procedures

1. The Department recognizes the importance of salary to individuals and the fact that funds for salaries are limited. The Department Chair in compliance with the College salary evaluation policies must make choices that benefit some more than others and some degree of salary dissatisfaction is unavoidable. While eliminating this potential dissatisfaction is impossible, the Department Chair will make every effort to be consistent with the evaluation of that appropriately affect salary based upon the job description, letter of offer, and assignments of faculty, staff, and students.

2. This appeals process is intended to address only salary appeals that are based on the appellant's belief that his or her salary is lower than comparable faculty within his or her academic unit and that the salary disparity cannot be explained by factors that appropriately affect salary levels. The eligibility criteria for use of this process are described below and are subject to College and OAA approval.

3. Faculty who meet all of the following criteria may use this process:
   a. They are regular faculty members.
   b. They do not receive part of their OSU compensation from a health care practice plan.
   c. 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 the Department. There must be at least two such faculty members, 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:
      o Differences in years of service and years in rank.
      o Productivity in teaching, research, and service.
      o Centrality of the person's work to the academic unit.
      o Past/present administrative duties.
      o Market factors.
      o Other factors set forth as legitimate bases for salary.
d. 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, he or she may not use the process again until the 2012/13 academic year.

4. 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 Department Chair and Dean of the College.

5. Procedures for the appeal process including parties involved, time frame for an appeal, and responsibilities for the parties involved will be consistent with current OAA Handbook guidelines for salary appeals.

6. Salary equity adjustments will 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 and OAA.

7. A decision is final under these procedures and cannot be appealed when:

   a. The Department Chair's written conclusions regarding the matter are not appealed to the College Faculty Salary Appeals Committee within 30 days of the date of the Chair's letter to the appellant reporting conclusions.

   b. The Dean of the College accepts a recommendation of the College Faculty Salary Appeals Committee to dismiss an appeal.

   c. The Dean of the College accepts a recommendation of the College Faculty Salary Appeals Committee to provide a salary adjustment and offers an adjustment that is at least 75% of the amount recommended by the committee.

8. If the Dean of the College dismisses an appeal that was not dismissed by the College Faculty Salary Appeals Committee or proposes a salary adjustment that is less than 75% of the amount recommended by the
College Faculty Salary Appeals Committee the appellant may appeal to the Provost. The provost or designee will review the matter and render a final decision.

D. **Procedures for Addressing Complaints against regular tenure-track, regular clinical, regular research, and auxiliary faculty members**

1. The Department will adhere to definitions and procedures (such as appropriate documents and record keeping) of Board of Trustees approved rule 3335-5-04 as outlined in the current OAA Handbook. This rule shall apply to all formal complaints against regular tenure-track, regular clinical, regular research, and auxiliary faculty members. Complaints may be filed under this rule against administrators who hold faculty appointments.

2. The Department Chair will attempt, through the use of informal consultation, to resolve complaints to their satisfaction and that of the complainant, and the faculty member against whom the complaint is made (hereinafter "respondent"). The Department Chair shall not act in their administrative capacities in the consideration of any complaint naming them as respondent. If a complaint names the Department Chair as respondent, the provost shall appoint an equivalent rank administrator from another department or college to perform the responsibilities of the named official under this rule.

3. Financial fraud is defined as a deliberate act or deliberate failure to act that is contrary to law, rule or policy with intent to obtain unauthorized financial benefit from the university for oneself, one’s family or one’s business associates. All matters related to potential financial fraud in the Department will be communicated to the Dean and addressed as outlined in the College Policies related to fiscal oversight and standard operation procedures and be in compliance with all Board of Trustee and OAA policies and rules.

4. At the time of their initial appointment and when they receive their annual review, faculty members shall be given notice of their right to review their personnel file maintained by Department (hereinafter "primary personnel file"). A member of the faculty may place in his or her primary personnel file a response to any evaluation, comment or other material contained in the file.

5. Procedures for filing a complaint, review processes, and hearings will follow those outlined in Board of Trustees approved rule 3335-5-04 as outlined in the current OAA Handbook.
E. Student Complaints about Faculty

1. As outlined in the current OAA Handbook, student complaints about courses, grades, and related matters will be brought to the attention of individual faculty members. Matters related to the professional veterinary curriculum and instruction will also be referred to the College Associate Dean of Student Affairs, who will work in concert with the Department Chair to address the complaint congruent with College and OAA policies. If the complaint by a graduate student is made against a Department faculty member, the Department Chair or Chair of the Department GSC will discuss the complaint with that person and follow policies outlined in the current Department or College Graduate Handbook.

2. As indicated in the OAA Handbook for all student complaints, “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, he or she will first ascertain whether the students require confidentiality or not. If confidentiality is not required, the Chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the Chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not.”

3. As indicated in the OAA Handbook for all student complaints “Faculty complaints regarding students must always be handled strictly in accordance with University rules and policies. Faculty should seek the advice and assistance of the Chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct http://oaa.osu.edu/coam/home.html and http://senate.osu.edu/COAMDuties.pdf. The Code of Student Conduct is Faculty Rule 3335-23 http://trustees.osu.edu/Rules_23/index.html.”

F. Staff Complaints

1. Staff may present complaints about working conditions, treatment by others or other problems, which, if true, would warrant remedial action. Staff are encouraged to communicate concerns or complaints through their direct supervisor. If the staff member has complaints against the supervisor that can not be resolved the Chair will serve to address complaints or grievances between a staff member and their supervisor.

2. The Chair or his/her designee will investigate the situation to
determine the validity of the grievance and follow up as appropriate. When the problem takes the form of on-going conflict between individuals who must necessarily work together or be in close proximity, it may be appropriate to seek mediation and/or establish ground rules for interaction between the parties. It may be appropriate in some cases for the Chair to consult with the Department FAC, College Office of Human Resources and the OSU Office of Consulting Services for advice in addressing the staff grievance.

3. In receiving such complaints, faculty should treat staff with respect regardless of the apparent merit of the complaint and provide a considered response. When a staff member brings complaints to their supervisor or Department Chair, he or she will first determine whether the situation requires confidentiality. If confidentiality is not required, the Chair will investigate the matter as fully and fairly as possible and provide a response to the staff member and any affected faculty, staff, or students. 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 staff member on options to pursue without prejudice as to whether the complaint is valid or not

G. Grievance Alleging Sexual Harassment and Discrimination

1. Sexual harassment includes unwelcome sexual advances, requests for sexual favors, and other physical or verbal conduct of a sexual nature when it meets any of the following:

   a. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment or academic status.

   b. Submission to or rejection of such conduct by an individual is used as the basis for employment or academic decisions affecting such individual.

   c. Such conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive environment for working, learning, or living on campus.

2. Sexual harassment can occur between any individuals associated with the University, e.g., an employee and a supervisor; coworkers; faculty members; a faculty, staff member, or student and a customer, vendor, or contractor; students; or a student and a faculty member. Sexual harassment can occur between individuals of the same and/or the opposite sex.
3. The Department is committed to nondiscrimination, equal employment opportunity and affirmative action. Accordingly, discrimination against any individual based upon protected status, which is defined as age, color, disability, gender identity or expression, national origin, race, religion, sex, sexual orientation, or veteran status, is prohibited. The Department is an equal opportunity employer and encourages women, under represented minorities, Vietnam era veterans, disabled veterans and individuals with disabilities to apply for positions in the Department. The Department follows regulations established by the American with Disabilities Act CDFS-1379-95.

4. Allegations of sexual harassment or discrimination are to be handled according to OSU established policies. The University's policy and procedures related to sexual harassment are set forth in OHR Policy 1.15 http://hr.osu.edu/policy/policy115.pdf.

5. In all cases, individuals who feel they have been harassed or discriminated against are to be encouraged to document the harassment or discrimination. Make a record of each incident of event. Write down the date and time of the incident and the surrounding circumstances. This will also help to determine if the behavior was one isolated incident or an ongoing pattern. Faculty, managers, supervisors, or any staff member who have responsibility for classrooms, academic, work or volunteer environments must respond according to established OSU Human Resources policies in reporting and responding to suspect or known sexual harassment or discrimination based upon race, sexual orientation, disability.

H. Procedures for Handling Acts of Misconduct


2. Misconduct includes violations of University rules and policies, violation of laws, and behavior that any reasonable person would judge to be unacceptable whether articulated or not in a specific policy or law. Any allegation of misconduct on the part of faculty, staff, or students, which if found to be true would require remedial action, must be investigated under procedures appropriate to the situation. If the allegation is presented orally to the Chair, the Chair will listen carefully and elicit additional information as needed. However, most often the appropriate response will be to describe to the individual making the allegation the steps the Chair will take to
investigate the situation. Normally it also will be appropriate and desirable to indicate when the individual making the allegation can expect a timely response and further information from the Chair. If the allegation is presented in writing, the Chair will indicate that the complaint will be investigated and every effort will be made to respond by a reasonable future date.

3. Any allegation of criminal behavior should be referred to the University Police. Allegations of academic misconduct by professional students should be referred to the Student Council of the College of Veterinary Medicine. Allegations of other types of student misconduct should be referred to the Office of Student Judicial Affairs of the University. Allegations of staff misconduct should be referred to the College Office of Human Resources and in appropriate the University Office of Consulting Services.

4. The Department follows OSU Policy (http://orc.osu.edu/misconduct/index.cfm) regarding misconduct in science. It is the obligation of the faculty, staff, and students in the Department to understand that the following practices as outlined in the OSU Policy, the following practices may support a finding of misconduct when they occur in proposing, conducting, reviewing, or reporting research:

   a. fabrication;
   b. falsification;
   c. destruction of data for fraudulent purposes;
   d. plagiarism;
   e. abuse of confidentiality;
   f. other practices that seriously deviate from those that are commonly accepted within the relevant scholarly community; and
   g. other practices that would constitute misconduct under the definitions provided for in rules promulgated by the National Science Foundation, the Public Health Service, or comparable federal funding agencies.

5. Allegations involving possible misconduct in research and scholarly activities should be brought to the attention of the Department Chair, Dean of the College, Vice President for Research or the Research Misconduct Administrator as promptly to follow OSU approved procedures to investigate the allege misconduct.