

**Pattern of Administration  
for  
The Ohio State University  
Department of Economics**

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## **I. Introduction**

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

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

## **II Department Mission**

The mission of the Department of Economics is to achieve excellence in research, teaching, and service. Excellence in research means attaining national and international recognition, as evidenced by, for example, comparative national rankings, the amount of high quality published scholarly research, citation counts, external funding, and awards and honors. Excellence in teaching means offering to all students the opportunity to realize their full potential for learning Economics and offering to the most capable and motivated students an enhanced learning experience. Excellence in service means providing a high level of professional expertise and experience not only to professional organizations but also to the College, the University, the Columbus community, the State of Ohio, and the nation.

## **III Academic Rights and Responsibilities**

In April 2006, the university issued a [reaffirmation](#) of academic rights, responsibilities, and processes for addressing concerns.

## **IV Faculty and Voting Rights**

Faculty Rule [3335-5-19](#) defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment. For purposes of governance, the faculty of this department includes tenure-track faculty with compensated FTEs of at least 50% in the department.

The Department of Economics makes tenure-track appointments with titles of assistant professor, associate professor, or professor. Tenure-track faculty with at least 50% FTEs may vote in all matters of departmental governance.

Tenure track faculty joint appointees with FTEs below 50% in this department as well as associated faculty and emeritus faculty may be invited to participate in discussions on nonpersonnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this department is provided in the [Appointments, Promotion and Tenure Document](#).

## **V      Organization of Department Services and Staff**

The department staff includes the assistant to the chair, HR/fiscal officer, graduate program coordinator, undergraduate program coordinator, career services coordinator, editorial coordinator for the *Journal of Money, Credit and Banking*, two systems managers, three undergraduate advisors, and the assistant to the economics chaired professors. Staff members perform administrative work in support of faculty, graduate and undergraduate students, and they ensure that operational needs of the department are met. Research Scientist staff appointments are given to individuals who primarily perform research in the department, and the expectation is that they are supported externally. They may, in some instances, teach courses in the department. Research Scientists are ineligible for promotion or tenure.

## **VI      Overview of Department Decision-Making**

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

## **VII     Department Administration**

### **A      Department Chair**

The primary responsibilities of the department chair are set forth in Faculty Rule [3335-3-35](#). This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule [3335-6](#), also requires the chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to appointments, reappointments, promotion and tenure.

Other responsibilities of the chair, not specifically noted elsewhere in this Pattern of Administration, are paraphrased and summarized below.

- To have general administrative responsibility for department programs, subject to the approval of the dean of the college, and to conduct the business of the department efficiently. This broad responsibility includes the acquisition and management of funds and the hiring and supervision of faculty and staff.
- To plan with the members of the faculty and the dean of the college a progressive program; to encourage research and educational investigations.
- To assign workload according to the department's workload guidelines (see Section IX) and faculty appointment type (and rank).
- To evaluate and improve instructional and administrative processes on an ongoing basis; to promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.

- To evaluate faculty members annually in accordance with both university and department established criteria; to inform faculty members when they receive their annual performance and merit review of their right to review their primary personnel file maintained by their department and to place in that file a response to any evaluation, comment, or other material contained in the file.
- After consultation with the eligible faculty, to make recommendations to the dean of the college regarding appointments, reappointments, promotions, dismissals, and matters affecting the tenure of members of the department faculty, in accordance with procedures set forth in Faculty Rule [3335.6](#) and this department's Appointments, Promotion and Tenure Document.
- To see that all faculty members, regardless of their assigned location, are offered the privileges and responsibilities appropriate to their appointment type and rank; and in general to lead in maintaining a high level of morale.
- To maintain a curriculum vitae for all personnel teaching a course in the department's curriculum.
- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.
- To prepare, after consultation with the faculty, annual budget recommendations for the consideration of the dean of the college.
- To facilitate and participate in prescribed [academic program review](#) processes, in collaboration with the dean of the college and the Office of Academic Affairs.

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

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

## **B      Other Administrators**

### **1.      Director of Graduate Studies (DGS)**

The Director of Graduate Studies is appointed by the Chairperson and is responsible for overseeing the administration of and advising the Chairperson on issues relating to the graduate program. The Director of Graduate Studies serves as the Chairperson of the Graduate Studies Committee, whose duties and obligations are outlined in Section VII-B.3.

## **2. Director of Graduate Admissions**

The Director of Graduate Admissions is appointed by the Chairperson and is responsible, in consultation with the Graduate Studies Committee, for overseeing admissions into the graduate program and nomination for University and College Fellowships.

## **3. Director of Graduate Placement**

The Director of Graduate Placement is appointed by the Chairperson and is responsible for helping to prepare graduate students for the job market and promoting our graduate students on the market to potential employers, such as other universities, government agencies, Federal Reserve Banks, research institutions, and businesses.

## **4. Director of Undergraduate Studies (DUS)**

The Director of Undergraduate Studies is appointed by the Chairperson and is responsible for overseeing the administration of and advising the Chairperson on issues relating to the Undergraduate program. In this role, the Director of Undergraduate Studies serves as the Chairperson of the Undergraduate Studies Committee, whose duties and obligations are outlined in Section VII-B.4.

## **5. Undergraduate Honors Advisor**

The Undergraduate Honors Advisor is appointed by the Chairperson and is responsible for overseeing the administration of our honors program. The duties of the Undergraduate Honors Advisor are outlined in Section VII-B.5.

## **C Committees**

Much of the development and implementation of the department's policies and programs is carried out by standing and ad hoc committees. The chair is an ex officio member of all department committees and may vote as a member on all committees except the Committee of Eligible Faculty.

### **1. Committee of Eligible Faculty**

The Committee of Eligible Faculty advises the Chairperson on matters relating to faculty evaluations, including the annual performance and merit review of Assistant and Associate Professors, the fourth-year review of Assistant Professors, and tenure and promotion reviews. The purpose of the Committee is to evaluate, rather than to advocate, cases and to produce a balanced report.

In these matters, the Committee of Eligible Faculty consists of all tenured economics faculty whose tenure resides in the department and who hold ranks above that of the candidate being reviewed or considered for promotion and/or tenure. In the case of an Associate Professor being considered for promotion to Professor, it consists of all tenured Professors; in the case of an Assistant Professor being considered for tenure and promotion to Associate Professor, or an Assistant Professor at the stage of the mandatory fourth-year review, it consists of all tenured Associate Professors and Professors.

The Committee of Eligible Faculty also advises the Chairperson on initial appointments. For initial appointments, the Committee of Eligible Faculty consists of all tenure-track economics faculty. For initial

appointments at senior rank (Associate Professor or Professor), the Committee of Eligible Faculty consists of all tenured economics faculty of equal or higher rank than the position requested.

Each year, the departmental Chairperson, upon the advice and consent of the Committee of Eligible Faculty, appoints a Committee of Eligible Faculty chair, a Recorder, and a Procedures Oversight Designee (POD). These appointments must be approved by a majority of the Committee of Eligible Faculty members by means of a secret ballot. In the event of a negative decision, the Chairperson must propose reconstituted appointments. These three appointees serve one-year (renewable) terms.

## **2. Faculty Recruitment Committee**

The role of the Faculty Recruitment Committee is to advise the faculty and the Chairperson on faculty recruitment matters.

The Faculty Recruitment Committee is appointed by the Chairperson; it consists of at least three members of the tenure-track faculty, one of whom is appointed as the committee chair. Committee members serve one-year (renewable) terms.

## **3. Graduate Studies Committee**

The Graduate Studies Committee consists of at least five members of the tenure-track faculty, appointed by the department Chairperson in consultation with the Director of Graduate Studies. It includes the Director of Graduate Studies and it includes the Director of Graduate Admissions and Director of Graduate Placement as ex-officio members. The Director of Graduate Studies serves as the committee chair. Committee members serve one-year (renewable) terms. The Committee is advisory to the Director of Graduate Studies and Director of Graduate Admissions on such matters as:

- Recruitment and admission of high quality applicants. This includes the preparation of appropriate brochures and application forms and the scheduling of visits to other campuses for recruiting purposes.
- Review of all applications to determine eligibility for any form of financial assistance. This includes the periodic review of graduate students already receiving assistance to determine their continued eligibility.
- Consultations with new graduate students to determine their respective programs of study. For continuity, the Committee chair serves as an adviser to all graduate students at least through the field examinations.
- The Committee chair will assign a faculty mentor to guide the student toward the formulation of a dissertation proposal. By the time the student is ready to schedule the Candidacy Examination, the Committee chair will have appointed an advisor to supervise the student in the development of the dissertation proposal and completion of the dissertation itself.
- Advising the Chairperson on appropriate graduate-level course offerings and staffing requirements.
- Appointing master's and doctoral examining committees and scheduling said exams. In addition, the Committee should maintain a written record of the performance of each graduate student on both the written and oral parts of the Candidacy Examination. These records become a permanent part of the department file on each student.
- Maintaining complete files on all aspects of each graduate student's stay at the University.

- Helping the Director of Graduate Placement in the placement of all graduate students. This includes helping students prepare vitae for mailing to other departments and agencies and advising graduate students in their job search. The Director of Graduate Placement should request that all graduate students expecting placement in the winter of each academic year have a vitae prepared by November (prior to the AEA job meetings).
- Review of all faculty for admission to and advancement in classification as members of the Graduate Faculty. This includes a formal report to the departmental Chairperson at least once each year on the graduate faculty status of all faculty members. In connection with this function, the Committee, through its Chairperson, should arrange to inform all new faculty members of the graduate faculty criteria. The Committee should orient new faculty on graduate affairs participation.

#### **4. Undergraduate Studies Committee**

The Undergraduate Studies Committee consists of at least four members of the tenure-track faculty, appointed by the department Chairperson in consultation with the Director of Undergraduate Studies. The Director of Undergraduate Studies is one of the members and serves as the committee chair. The other appointments are made by the departmental Chairperson in consultation with the Director of Undergraduate Studies. Committee members serve one-year (renewable) terms. The Committee is advisory to the Director of Undergraduate Studies on such matters as:

- Assignment of GTAs to recitation sections, courses, and grading positions within the framework of the Course Listing and Time Schedule for each academic term.
- Short-term modification of course offerings, including recommending additional sections of listed courses to accommodate potential close outs and recommending closing sections in which demand for seats is below acceptable levels.
- Long-term planning of the curriculum to enhance the quality of instruction in both major and service courses.
- Supervision of new-course development and coordination of course offerings in appropriate colleges and departments.
- Communication with the College of Arts and Sciences (ASC) regarding general policy issues involving university, ASC, major and minor requirements.
- Evaluation of undergraduate classroom instruction, with particular attention being paid to the performance of GTAs and lecturers.
- Selection of students for departmental awards.
- The handling of student complaints and grievances.

The duties of the Undergraduate Honors Advisor include:

- Advising honors students and developing an honors contract for each student.
- Advising students term by term on the department's offerings for the upcoming term or year.
- Advising honors students from other departments, typically students seeking approval of second majors and economics minors as part of the honors contract process.
- Developing undergraduate research scholarship proposals and senior honors theses projects.
- Monitoring the department's honors course offerings and seeking funds for new honors courses.
- Recruiting honors students to the department.

- Interacting closely with ASC honors counselors and with honors advisers in other departments and occasionally serving as a recruiter representing the department.
- Speaking to student organizations, writing letters to prospective students, etc.

## 5. Advisory Committee

The Advisory Committee consists of five members, with the department chair being an ex-officio member. The chair convenes the Advisory Committee; there is no committee chair. The purpose of the committee is to provide advice to the department chair regarding a wide variety of issues facing the department. All tenure-track faculty members are eligible to serve on the committee. The membership of the committee consists of three elected members and two members appointed by the department chair. Members serve a two-year term. The members elected during a year will be the faculty member receiving the most votes in an election for the vacant positions. If there is a tie, there will be a run-off election among those tied. In the event of a tie in the run-off, the positions will be filled randomly among those tied in the run-off.

## VIII Faculty Meetings

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

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

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

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

When a matter must be decided and a simple majority of all faculty members eligible to vote cannot be achieved on behalf of any position, the chair will necessarily make the final decision.

The department accepts the fundamental importance of full and free discussion but also recognizes that such discussion can only be achieved in an atmosphere of mutual respect and civility. Normally department meetings will be conducted with no more formality than is needed to attain the goals of full

and free discussion and the orderly conduct of business. However, Robert's Rules of Order will be invoked when more formality is needed to serve these goals.

## **IX Distribution of Faculty Duties, Responsibilities, and Workload**

Faculty assignments are described in the initial letter of offer. Assignments and expectations for the upcoming year are addressed as part of the annual performance and merit review by the chair based on department needs as well as faculty productivity and career development.

During on-duty periods, faculty members are expected to be available for interaction with students, research, and department meetings and events even if they have no formal course assignment. Every member of the faculty who is assigned instruction is expected to establish and maintain regular office hours in order to be readily available to students. On-duty faculty members should not be away from campus for extended periods of time unless on an approved leave (see section XII) or on approved travel.

Telework exception: Faculty members with responsibilities requiring in-person interaction are to work at a university worksite to perform those responsibilities. Telework and the use of remote, virtual meetings are allowed at the discretion of the TIU head if such work can be performed effectively and faculty members are able to fulfill their responsibilities. Telework will be encouraged under certain circumstances if it serves the needs of the TIU, college, university, and/or community. The TIU head has the discretion to require faculty to work on campus if there are concerns that responsibilities are not being fulfilled through telework.

The guidelines outlined here do not constitute a contractual obligation. Fluctuations in the demands and resources of the department and the individual circumstances of faculty members may warrant temporary deviations from these guidelines.

A full-time faculty member's primary professional commitment is to Ohio State University and the guidelines below are based on that commitment. Faculty who have professional commitments outside of Ohio State during on-duty periods (including teaching at another institution; conducting research for an entity outside of Ohio State; external consulting) must disclose and discuss these with the chair in order to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the university's [Policy on Outside Activities and Conflicts](#).

In crisis situations, such as life-threatening disease (COVID, for example) or physical dangers (natural disasters, for example), faculty duties, responsibilities, and workload may be adjusted by the chair to take into account the impact over time of the crisis. These adjustments may include modifying research expectations in order to maintain teaching obligations. These assignment changes must be considered in annual reviews.

### **A Tenure-track Faculty**

Tenure-track faculty members are expected to contribute to the university's mission via teaching, scholarship, and service. When a faculty member's contributions decrease in one of these three areas, additional activity in one or both of the other areas is expected.

#### **Teaching**

All tenure-track faculty are expected to contribute to the department's teaching, including large enrollment and specialized courses in both the undergraduate and graduate curriculums. The standard teaching assignment for full-time tenure-track faculty members is **three** courses (or equivalent teaching load) per 9-month academic year (about 40% time allocation to total workload), with the remainder of their time allocated to research and service. Faculty members are also expected to advise undergraduate and graduate students and supervise independent studies and thesis and dissertation work.

Adjustments to the standard teaching assignment may be made to account for teaching a new class, the size of the class, whether the class is taught on-line or team-taught, and other factors that may affect the preparation time involved in teaching the course.

The standard teaching assignment may vary for individual faculty members based on their research and/or service activity. Faculty members who are especially active in research can be assigned an enhanced research status that includes a reduced teaching assignment. Likewise, faculty members who are relatively inactive in research can be assigned an enhanced teaching status that includes an increased teaching assignment. Faculty members who are engaged in extraordinary service activities (to the department, college, university, and in special circumstances professional organizations within the discipline) can be assigned an enhanced service assignment that includes a reduced teaching assignment.

The chair is responsible for making teaching assignments on an annual basis and may decline to approve requests for adjustments when approval of such requests is not judged to be in the best interests of the department. All faculty members must do some formal instruction and advising over the course of the academic year.

## **Scholarship**

All tenure-track faculty members are expected to be engaged in scholarship as defined in the department's [Appointments, Promotion, and Tenure Document](#) (about 50% time allocation to total workload). Over a four-year rolling period a faculty member who is actively engaged in scholarship will be expected to publish regularly in high quality peer-reviewed journals as well as in other appropriate venues, such as edited book chapters of similar quality and length as articles. Faculty engaged in basic or applied research are expected to attract extramural funding. Faculty members are also expected to seek appropriate opportunities to obtain patents and engage in other commercial activities stemming from their research.

## **Service**

Faculty members are expected to be engaged in service and outreach to the department, university, profession, and community (about 10% time allocation to total workload). Typically this will include service on two committees within the department and one outside the unit. This pattern can be adjusted depending on the nature of the assignment (e.g. service as committee chair, service on a particularly time-intensive committee, organizing a professional conference, leadership in an educational outreach activity, service in an administrative position within the department, college, or university).

All faculty members are expected to attend and participate in faculty meetings, recruitment activities, and other department events.

Service loads should be discussed and agreed to during annual performance and merit reviews. When heavy service obligations are primarily volunteer in nature, the chair is not obligated to modify the service load of the faculty member (reduce teaching and/or scholarly obligations). If, however, a heavy service

load is due to the faculty member's unique expertise, perspective, or voice, this should be noted in the annual performance review letter, considered when distributing the faculty member's other duties, and taken into account for the AMC Process. The chair should also consider this additional service burden in managing equity of service loads among faculty.

#### **i      Special Assignments**

Information on special assignments (SAs) is presented in the Office of Academic Affairs [Special Assignment Policy](#). The information provided below supplements this policy.

Untenured faculty will normally be provided an SA for research for one semester during their probationary period. Reasonable efforts will be made to award SA opportunities to all other faculty members subject to the quality of faculty proposals, including their potential benefit to the department or university, and the need to assure that sufficient faculty are always present to carry out department work. The department's Advisory Committee will evaluate all SA proposals and make recommendations to the chair. The chair's recommendation to the dean regarding an SA proposal will be based on the quality of the proposal and its potential benefit to the department or university and to the faculty member as well as the ability of the department to accommodate the SA at the time requested.

#### **B      Associated Faculty**

Compensated associated faculty members are expected to contribute to the university's mission via teaching or research depending on the terms of their individual appointments.

Faculty members with tenure-track titles and appointments <50% FTE will have reduced expectations based on their appointment level.

Expectations for compensated visiting faculty members will be based on the terms of their appointment and are comparable to that of tenure-track faculty members except that service is not required.

The standard teaching assignment for full-time lecturers is eight courses per academic year.

#### **C      Modification of Duties**

The Department of Economics strives to be a family-friendly unit in its efforts to recruit and retain high quality faculty members. To this end, the department is committed to adhering to the College of Arts and Sciences' guidelines on modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption/fostering, or care for an immediate family member who has a serious health condition, or a qualifying exigency arising out of the fact that the employee's immediate family member is on covered active duty in a foreign country or call to covered active duty status. See the [college pattern of administration](#) for details. See also the OHR [Parental Care Guidebook](#) and the Parental Leave Policy in Section XII.

A faculty member requesting a modification of duties and the chair should be creative and flexible in developing a solution that is fair to both the individual and the unit while addressing the needs of the university. Expectations must be spelled out in an MOU that is approved by the dean.

## **X Course Offerings, Teaching Schedule, and Grade Assignments**

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

If an instructor of record is unable to assign grades due to an unexpected situation (i.e. health or travel), or if they have not submitted grades before the university deadline and are unreachable by all available modes of communication, then the chair may determine an appropriate course of action, including assigning a faculty member to evaluate student materials and assign grades for that class. The University Registrar will be made aware of this issue as soon as it is known and will be provided a timeline for grade submission.

## **XI Allocation of Department Resources**

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

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

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

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

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

Funds that support faculty members' research may be allocated annually through individual research and teaching support accounts. These allocations may be set either through letters of offer or through the allocation of discretionary funds by the department chair. They will vary over time and across faculty members depending on the availability of funds and the contributions of the faculty to the mission of the department. Use of the funds requires the approval of the department chair, and use is subject to university policies and procedures, as well as department guidelines. Uses may include a large variety of support for faculty members' research and teaching activities. Examples include but are not limited to

professional travel, the purchase of data sets, subject payments in experiments, scholarly books and texts. Approval of expenditures by the department chair also is required for funds from external grants.

## **XII Leaves and Absences**

In general, there are four types of leaves and absences taken by faculty (in addition to parental leave, which is detailed in the [Parental Care Guidebook](#)). The university's policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs [Policies and Procedures Handbook](#) and Office of Human Resources [Policies and Forms website](#). The information provided below supplements these policies.

### **A Discretionary Absence**

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

### **B Absence for Medical Reasons**

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

### **C Unpaid Leaves of Absence**

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR [Policy 6.45](#).

### **D Faculty Professional Leave (FPL)**

Information on faculty professional leaves is presented in the OAA [Policy on Faculty Professional Leave](#). The information provided below supplements these policies.

The department's Advisory Committee will review all requests for faculty professional leave and make a recommendation to the department chair based on the quality of the proposal in terms of contributing to the scholarship in the discipline, the future scholarship output of the faculty member, and the likelihood of obtaining external funding. If a member of the Advisory Committee submits an FPL proposal, he or she will be recused from the review process for all proposals. In general, FPLs should not be used solely to finish existing projects but should lead to the professional development of the faculty member.

The chair's recommendation to the dean regarding an FPL proposal will be based on the advice of the Advisory Committee, as well as his/her own judgment as to the quality of the proposal and its potential benefit to the department and to the faculty member. The ability of the department to accommodate the leave at the time requested will also be a consideration.

## **E Parental Leave**

The university, the college, and this department recognize the importance of parental leave to faculty members. Details are provided in the OHR [Parental Care Guidebook](#), Paid Time Off [Policy 6.27](#), and the [Family and Medical Leave Policy 6.05](#).

## **XIII Additional Compensation and Outside Activities**

Information on additional compensation is presented in the OAA [Policy on Faculty Compensation](#). Information on paid external consulting is presented in the university's [Policy on Outside Activities and Conflicts](#). The information provided below supplements these policies.

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

Faculty with an administrative position (for example, chair, associate/assistant dean, center director) remain subject to the [Policy on Outside Activities and Conflicts](#) and with appropriate approval, are permitted to engage in paid external work activities. However, faculty members with administrative positions are not permitted to accept compensation/honoraria for services that relate to or are the result of their administrative duties and responsibilities.

Should a department faculty member wish to use a textbook or other material that is authored by the faculty member and the sale of which results in a royalty being paid to him/her/them, such textbook or material may be required for a course by the faculty member only if (1) the faculty member's department chair and/or dean or designee have approved the use of the textbook or material for the course taught by the faculty member, or (2) an appropriate committee of the department or college reviews and approves the use of the textbook or material for use in the course taught by the faculty member.

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

## **XIV Financial Conflicts of Interest**

Information on faculty financial conflicts of interest is presented in the university's [Policy on Outside Activities and Conflicts](#). A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or

administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

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

In addition to financial conflicts of interest, faculty must disclose any conflicts of commitment that arise in relation to consulting or other work done for external entities. Further information about conflicts of commitment is included in section IX above.

## **XV      Grievance Procedures**

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

### **A.      Salary Grievances**

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

Faculty members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter may be eligible to file an appeal with the college's Faculty Salary Appeals Committee. A formal salary appeal can also be filed with the Office of Faculty Affairs (see Volume 1, Chapter 3 of the Office of Academic Affairs [\*Policies and Procedures Handbook\*](#)).

Staff members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter should contact [Employee and Labor Relations](#) in the Office of Human Resources.

### **B.      Faculty Promotion and Tenure Appeals**

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

### **C.      Faculty and Staff Misconduct**

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

Any student, faculty, or staff member may report complaints against staff to the chair. The [Office of Employee and Labor Relations](#) in the Office of Human Resources can provide assistance with questions, conflicts, and issues that arise in the workplace.

### **D.      Harassment, Discrimination, and Sexual Misconduct**

The [Civil Rights Compliance Office](#) exists to help the Ohio State community prevent and respond to all forms of harassment, discrimination, and sexual misconduct.

- 1 Ohio State's policy and procedures related to equal employment opportunity are set forth in the university's [policy on equal employment opportunity](#).
- 2 Ohio State's policy and procedures related to nondiscrimination, harassment, and sexual misconduct are set forth in the university's [policy on nondiscrimination, harassment, and sexual misconduct](#).

#### **E. Violations of Laws, Rules, Regulations, or Policies**

Concerns about violations of laws, rules, regulations, or policies affecting the university community should be referred to the [Office of University Compliance and Integrity](#). Concerns may also be registered anonymously through the [Anonymous Reporting Line](#).

#### **F. Complaints by and about Students**

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about courses and instructors to the chair, the chair will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not. See Faculty Rule [3335-8-23](#).

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.

#### **G. Academic Misconduct**

Faculty members will report any instances of academic misconduct to the [Committee on Academic Misconduct](#) in accordance with the [Code of Student Conduct](#). See also Board of Trustees Rule [333523-05](#).

## **Appendix: Mentoring**

### **A. The assignment process**

The department chair shall assign a mentor to each untenured tenure-track faculty member. At least one tenured mentor must be assigned to any individual hired into an untenured, tenure track position in the department. Upon request and agreement by both parties, a senior assistant professor may be assigned as an additional mentor to a junior assistant professor, supplementing but not substituting for the tenured mentor.

The department chair is strongly encouraged to match mentees from under-represented groups (URGs) with at least one senior faculty mentor with expertise in the issues of research, teaching, and service that arise for members of URGs.

The chair may assign a mentor to an associate professor if requested, or if such a mentoring relationship is deemed beneficial by the associate professor, chair and/or potential mentors.

Mentors and mentees may request changes to their mentoring assignments at any time. Decisions on changes are made by the department chair in consultation with both the mentor and the mentee. Faculty who are engaging in informal mentoring may be assigned as a mentor upon request to the chair and with agreement by the chair and proposed mentee.

### **B. Expectations of mentors, mentees, and seminar series organizers**

Mentors are expected to meet with their mentees regularly.

Mentors are expected to give advice to their mentees regarding research, service, and teaching. For example, mentor advice about research could include, but is not limited to, advice about publication strategies, external and internal grant applications, strategies to increase visibility in the profession, and professional networking. Recommended mentoring functions are fully detailed in College and University documents on mentoring programs.

Mentors are neither advocates for nor evaluators of junior faculty members within the department. They should be sensitive yet honest in providing constructive feedback and should build trust by keeping conversations and interactions confidential. During fourth- and sixth-year reviews, mentors should not reveal information provided by the mentee in confidence.

Mentors and mentees may give advice on department policies and procedures with respect to mentoring when requested, though such inquiries and feedback may be better directed to the department chair directly. If appropriate, the chair may bring issues and ideas to the full faculty for discussion.

A key element of mentoring is feedback from colleagues regarding research in progress. Seminar series organizers are expected to accommodate requests by junior faculty to present their own research in the department seminar series. Junior faculty are encouraged to present their research regularly in department seminars. All faculty are encouraged to attend the seminars given by junior colleagues regardless of field. Mentors are expected to attend mentees' seminars whenever possible.

Mentors and the department chair shall, whenever feasible, inform mentees of mentoring programs.

available outside the department. These may include mentoring programs available through the Division, College, University, or through prominent professional organizations.