

## **PATTERNS OF ADMINISTRATION**

DEPARTMENT OF EDUCATIONAL STUDIES  
College of Education & Human Ecology  
The Ohio State University

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## Introduction

This document provides a brief description of Department of Educational Studies as well as a description of its policies and procedures. This document supplements the “[Rules of the University Faculty](#)” and the Office of Academic Affairs [Policies and Procedures Handbook](#). It further supplements the 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. An important function of this document is to communicate to faculty, staff and students what the department offices do and how they function. As such, it is but one piece in overall departmental communication. The POA documents of the departments and the college are intended to align, complement, and support each other, i.e., they should be consistent with the mission, values, vision, and strategic plan of EHE and the university at large.

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.

## Core Values of EHE

As articulated in the EHE Patterns of Administration, the college derives its mission, vision, core values and practices from Ohio State’s Strategic Plan—Time and Change: Enable, Empower and Inspire. The College further derives its mission and vision from a set of five core college values that were voted on by faculty and staff in EHE. These values influence college decisions as they relate to faculty, staff, and student appointments and reviews, policy formation and implementation, resource allocation, and overall decision making.

- 1) *Excellence* in transformative research, teaching, and service that impacts the lives of our students and community.
- 2) *Integrity* in ethical behavior and accountability in our actions while demonstrating respect in the absence of agreement.
- 3) *Diversity, Equity and Inclusion* in cultivating a College reflective of the communities we serve in terms of representation, language, action, and behavior.
- 4) *Innovation* in a continuous process of discovery that is solution-based.
- 5) *Internationalization* in developing a climate that builds a global community and perspective

In addition to these core values, collegiality, civility, and mutual respect are cross cutting themes in EHE. The College supports diverse beliefs and the free exchange of ideas and opinion and expects that faculty, staff, and students promote these values and apply them in a professional manner in all academic endeavors and interactions within and representing the College. We do this through our focus on five key areas: early childhood education and development, urban and rural education, health and economic vitality, STEAM education, and internationalization and global engagement.

### **Department Mission**

Across our unique tapestry of academic specializations, we prepare equity-minded leaders, scholars, practitioners and global citizens and produce innovative research to transform schools, colleges and universities, non-profits, community agencies, and policy entities to effectively address the challenges of rapidly changing societies.

### **Department Vision**

We work to equip students to serve all people, particularly those from historically marginalized groups. We strive to promote equity, inclusion, and social justice, to facilitate reciprocal, strategic partnerships, and to disrupt systemic oppression and educational inequities. Collectively, we endeavor to make a positive impact on the growth, vitality and wellness of children, adults, families, communities, and the workforce in Ohio and beyond through the application of our teaching, research and service.

### **Department Values**

Guided by the College of Education and Human Ecology Core Values: Excellence, Justice, Diversity, Innovation and Internationalization, we approach our work:

- Through modeling, mentoring, and student-centered instruction
- By enacting meaningful engagement and service to urban, suburban and rural communities
- By promoting research engagement among our students and excellence in research methodology in all its forms
- Through technological innovation to improve learning and development
- With collaboration and respectful dialogue about social equity issues
- By engaging in transdisciplinary and transformative scholarship
- Through promoting diverse ways of knowing and being, including critical engagement with pedagogical and epistemological issues to ensure that deficit narratives about diverse groups are countered in favor of strengths-based teaching, scholarship, and service.
- By teaching and promoting wellness across the lifespan
- Through connecting and partnering with federal/state/local/global communities, as well as scholarly and professional communities
- Through continuous self-reflection and accountability in our recruitment and retention of diverse students, faculty, and community members so that we are transformed into a more inclusive, respectful, and honor-filled community.
- Through training leaders and practicing leadership to address systemic issues of educational equity

### **Academic Rights and Responsibilities**

In April 2006, the university issued a reaffirmation of academic rights, responsibilities, and processes for addressing concerns. This statement can be found on the Office of Academic Affairs [website](#).

Academic governance is the prerogative of the faculty articulated in this document and the Department's [appointments, promotion, and tenure document](#); faculty work is governed by individual and collective priorities and acceptable academic standards.

## 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, faculty who hold administrative appointments outside of the College may maintain voting rights if the Department remains their tenure initiating unit. Associated, visiting, courtesy, and emeritus faculty do not have voting privileges.

### A. Tenure Track Faculty.

The tenure-track faculty within the department is comprised of all persons with the title of professor, associate professor, assistant professor, and instructor who have at least 50 percent salaried appointments in the department. *These are the tenured or probationary tenure-track faculty.* Voting privileges on departmental matters, including promotion and tenure, are extended only to members of the tenure-track departmental faculty. Governance participation by non-tenure-track faculty shall be consistent with university rules, and with the provisions of university rules [3335-7-04](#), and [3335-5-19](#). Graduate faculty membership and status are determined by the Graduate School on recommendation of the Graduate Studies Committee of the Department of Educational Studies.

### B. Clinical Faculty.

The purpose of clinical faculty is to support the teaching mission of a department, and the Department of Educational Studies makes clinical appointments. It is anticipated that initial clinical faculty appointments will be three to five years, with the possibility of a renewal of another three to five years. Clinical faculty are expected to pursue professional excellence that results in promotion through assistant professor of clinical educational studies, associate professor of clinical educational studies, and professor of clinical educational studies. The appointment cap on clinical faculty in relation to the total of tenure-track, clinical, and research faculty is established in the [college pattern of administration](#). Clinical faculty in this Department do not vote in tenure-track faculty promotion decisions, tenure decisions, or appointments of tenure-track faculty. However, when considering cases involving clinical faculty, the eligible faculty for appointment reviews includes clinical faculty who have the appropriate rank. Precise descriptions of the eligible faculty are contained in the [Appointments, Promotion and Tenure document](#). In addition, when considering cases involving clinical faculty, the Promotion and Tenure Subcommittee may be augmented by two non-probationary clinical faculty members. Any clinical faculty member appointed by the department may stand for election to serve as a representative in the University Senate subject to representation restrictions noted in [Faculty Rule 3335-7-11\(C\)\(2\)](#).

### C. Associated Faculty.

Associated faculty include temporary part-time lecturers or senior lecturers, adjunct professors, and visiting professors; these individuals may be appointed by the Chair on the recommendation of program faculty in cases of instructional need, usually to cover the absence of permanent faculty.

Associated faculty and faculty joint appointees with FTEs below 50% in this department may be invited to participate in discussions on non-personnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter. Any joint appointments will be discussed with the Dean. The amount of remuneration is determined

by the Chair, and is adjustable according to rank, workload, and market conditions.

- Adjunct faculty, when appointed by the Chair in consultation with the program faculty and with approval of the Dean, are expected to teach or co-teach one course per year. These appointments may be renewed annually.
- Senior lecturers will teach four 3-credit courses each year. This load can be adjusted in consultation with the Chair based on program needs.
- Visiting faculty (at the rank of instructor, assistant professor, associate professor, or professor), when appointed by the Chair in consultation with the program faculty and with approval of the Dean, may hold full-time, compensated appointments, and they are renewable up to three years.
  - International Scholars: The Department encourages visits of international scholars, being aware of the value of those visits for enrichment of our own teaching and research programs and for extending the reach and visibility of The Ohio State University in our fields. Because of the numerous possibilities for such visitors, however, the number of such visitors should be restricted by the Chair to no more than four at any given time, their qualifications to be compatible with active program interests in the Department. The Chair must assure that at least one faculty member is willing to take responsibility for the visitor. Visiting scholar positions typically last one year.

#### D. Emeritus Faculty

Emeritus faculty may be re-hired on short-term agreements subject to programmatic needs and availability of funds.

#### E. Courtesy Faculty.

Courtesy appointments may be made by the Chair on recommendation of program faculty and approval of the Dean and are not paid and may be renewed annually.

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](#).

Mentoring: To assist each probationary faculty member in achieving tenure and promotion, the Chair shall appoint a tenured faculty member as a mentor. The probationary faculty member may change mentors during the probationary period. The mentor and the probationary faculty member will meet at regular intervals to review progress toward tenure and promotion. The mentor is an advisor, not an advocate. The probationary faculty member may request the presence of the mentor at the annual performance and merit review meeting.

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

The Department has one center of operations, which is the office of the Chair, who is responsible to the Dean for all aspects of administration; the Department staff are responsible to the Chair. The Associate Chair is responsible for specific aspects of administration and supervision within

the Department as described below. To meet changing demands, the Chair reserves the right to create additional leadership positions within the department, upon final approval of the Dean. For instance, the Assistant Chair for Enrollment Management is responsible for specific aspects of administration and supervision within the Department as described below.

#### Academic Programs

The faculty are organized into the following academic programs, which, while continually under review and having some fluidity, are used for program planning, faculty teaching assignments, and graduate admission and supervision:

1. Counselor Education
2. Educational Administration
3. Educational Policy
4. Educational Psychology
5. Higher Education and Student Affairs
6. Learning Technologies
7. Philosophy and History of Education
8. Quantitative Research, Evaluation, and Measurement
9. School Psychology
10. Special Education
11. Workforce Development and Education

Though the programs will be autonomous and self-determinative, the Chair in consultation with faculty may recommend reorganization to maintain flexibility in operations and administrative support. Each program will have the option of maintaining independence or joining with other programs into a multi-program unit. The creation and maintenance of all multi-program units will be at the discretion of the faculty in each independent program involved and in consultation with the Chair. The majority of faculty (more than 50%) in each program must be in agreement with any merger plans. The ability to form and dissolve units will be dynamic and based on local needs of faculty. A viable program will have at least one faculty who designates the program as their primary program and have a minimum of three faculty members (including the primary faculty member). The number of faculty will not be the sole determinant of viability. Other determinants including but not limited to: student enrollment and graduation, research productivity of faculty, faculty size, and endowments, will be taken into account. As eleven programs can be an administrative burden, programs will be encouraged to become affiliated into larger units.

The functioning of the programs will be divided between administrative and academic functions and responsibilities. Administrative functions and responsibilities will be transferred to central administrative leadership and staff in the department (e.g. Student Services and Graduate Studies, the Office of the Associate/Assistant Chair). Academic functions and responsibilities will be maintained by the faculty at the program level (e.g. teaching, advising).

Whereas overall supervision of academic programs is the responsibility of the Department Chair, the operational authority and responsibility are located in the program areas. Each program is led by a Program Chair who is responsible for the following:

- Leadership of course scheduling within the program
- Coordination of admissions, recruitment, and retention activities



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- Leading and approving curricular/programmatic revisions
- Assisting with hiring, onboarding, and evaluation of part-time lecturers by identifying individuals and seeking final approval from the Associate Chair
- Assisting with hiring, onboarding, and evaluation of GTAs and GAAs by identifying individuals and seeking final approval from the Associate Chair
- Working collaboratively with the Office of Student Services on various student-related issues
- Coordination of accreditation activities (if applicable)
- Attending monthly program chair meetings
- Attending monthly department meetings
- Hosting regular program meetings (preferably each month, but program faculty should collectively determine the frequency and need for meetings under the Program Chair's leadership)
- Serving on an executive committee that provides feedback to the Chair and Associate Chair in conducting annual reviews of faculty and full-time lecturers
- Updating information on program websites
- Managing program funds in consultation with the Fiscal Officer
- Maintaining communication with program faculty about pressing matters in the department, college and university
- Other duties as required to maintain the smooth running of the program, although those responsibilities may be delegated or arranged in various ways within the programs.

Program Chairs will make decisions based on majority consensus of the program faculty. Program Chairs should be professors or associate professors and are appointed by the Department Chair, in consultation with the program faculty, for a specified term of three years. The Chair or the Associate Chair will seek feedback annually from program faculty about the performance of the Program Chair. The Program Chair will work with the Office of the Chair or administrative designee regarding faculty or enrollment concerns. All academic programs of the Department are governed by College policies as well as by applicable policies of the Graduate School.

### A. Faculty Affiliations

All faculty in this department are considered Educational Studies faculty. Each faculty member will be formally affiliated with at least one program. Faculty members can and are encouraged to engage across multiple programs, but must select one program for planning purposes such as determining course rotation schedules, teaching core courses, and elections to committees. All affiliations should be based on experience, background and credentials, and the combined decision of the faculty member, the program faculty and in consultation with the Chair. A majority of the faculty in any program must approve in writing, the request of another faculty member wishing to either switch or add another formal affiliation.

Primary faculty with a formal affiliation typically have the strongest academic qualifications for a specific program. The faculty member is committed to teaching core courses within this program, advising graduate students within this program, serving on committees within this program, and providing a significant service commitment to this program. Faculty members should consult with the Department Chair if they wish to switch their affiliation or be affiliated with an additional program.

Primary faculty must have some recognized expertise in the program area (e.g., degree, publications, presentations). Faculty members who wish to formalize an affiliation with more than one program area should facilitate a conversation with the Program Chairs of their current and prospective program to discuss and document duties and responsibilities. All parties must agree before a dual affiliation status is granted.

Given that faculty are encouraged to engage across multiple programs, faculty members are welcome to participate in the activities of more than one program area. Such engagement may include, but is not limited to (a) recruitment of graduate students in all its phases, (b) commitment to take graduate students who specifically apply to work with that faculty member (if there is a fit), (c) commitment to serve on program committees, (d) commitment to chair exam and dissertation committees of the student's program, and (e) commitment to engage in service to the program. Engagement across programs is not equivalent to affiliation. See above for guidance on formal affiliation with one or more programs.

#### External Affiliation

In some instances faculty from another program outside the Department of Educational Studies may seek to affiliate with a given program. These faculty members have no formal obligations to the program, but make some important contribution to the program (e.g., support graduate students through grants, work with faculty/students on projects, teach courses important to the program). They may sit on master's or doctoral committees and in special circumstances may chair committees (with permission from the Graduate Studies Committee, the Department Chair, and the Graduate School).

#### A. Auxiliary Units

Auxiliary units, programs, and centers under the general supervision and budgeting of the Department include the Walter E. Dennis Learning Center, the First Education Experience Program (FEED), the Student Personnel Assistantship Program, the QREM labs, and the SMART Lab. Department faculty are also responsible for editing journals. *Theory Into Practice* and *Review of Higher Education* reside with the Department. *The Journal of Higher Education* also resides within the auspices of the Department and the Ohio State Press, although editorial work may be performed at other universities via a memorandum of understanding.

Faculty interested in establishing auxiliary units or serving as journal editors should discuss these opportunities with the Department Chair. Faculty may also establish centers per the [EHE Center Guidelines](#).

#### B. Central Administrative Offices and Space

The primary Department administrative offices are located on the main floor of Ramseyer Hall. Additional offices are located in the PAES building. The offices operate as one administrative unit. The Department Chair is responsible for office supervision with support from the Associate and/or Assistant Chairs.

Administrative management is delegated to departmental staff. Support staff are assigned to the various administrative offices and academic programs by the Department Chair in the interest of economy and efficiency.

Responsibilities of support staff include collecting updated versions of syllabi and curriculum

vitae, responding promptly to scheduling requests, submitting requests for materials and supplies, scheduling of rooms for meetings and special events, and taking minutes at meetings as needed. Staff in the Office of Student Services and Graduate Studies report to the Director of that office. The Director of Student Services and Graduate Studies, the Fiscal Officer, and the Executive Assistant to the Chair report to the Department Chair. The HR Consultant jointly reports to the Department Chair and the EHE Director of Human Resources. The individuals in these roles, along with the Chair, Associate and Assistant Chair (when applicable) comprise the Department Leadership Team and work together to ensure the smooth administrative function of departmental processes.

### **Overview of Department Decision Making**

Department governance proceeds on the general principle that matters of importance need to be decided in the most inclusive manner possible. Open discussions, both formal and informal, and the presumption of majority faculty rule, constitute the primary means of reaching decisions of central importance. The nature and importance of any individual matter determines how it is addressed. Program-related decisions are made by program faculty and where necessary, in consultation with the Department Chair. Policy decisions are made by the Department Chair in consultation with the faculty. Standing, Ad-hoc, or special committees of the department may be created to offer recommendations or make general decisions.

The Department Chair maintains a strong commitment to open discussion. The Department should expect that the Chair's actions will be supported by defensible rationales. Where appropriate, the Chair will make rationales public and subject to public comment. The Chair will embrace a willingness to alter decisions when compelling rationales for doing so are presented.

### **Departmental Administration**

#### **The Department Chair**

The primary responsibilities of the Chair are set forth in Faculty Rule [3335-3-35](#). This rule requires the Chair to develop, in consultation with the faculty, a 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 promotion and tenure.

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

- General administration of the Department's Programs, subject to the approval of the Dean of the College.
- Scheduling department meetings and providing a schedule of meetings for each semester to all faculty members prior to the start of each semester, and maintaining a record of minutes.
- Consulting with faculty on policy matters, whenever feasible and at a meeting of the faculty as a whole.
- Recognizing in principle the presumption for majority faculty rule and, whenever majority faculty rule is not followed, providing a public rationale for pursuing another option.
- Operating the business of the Department with efficiency and transparency.

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- Strategically planning with the faculty and the Dean for the future of the unit.
- Engaging in ongoing formative evaluation of the Department's instructional and administrative activities.
- Maintaining a curriculum vitae for all personnel teaching a course in the department's curriculum.
- Evaluating faculty annually in accordance with established criteria and procedures and ensuring that professional development opportunities are available to enhance abilities.
- Encouraging research and scholarly activity.
- Managing all aspects of the Department's annual budget.
- Promoting instructional improvement through review of course syllabi, student evaluations (SEI's), peer-review of teaching, consultation with faculty, and supporting of professional development.
- Serving as a liaison between departmental faculty housed on regional campuses with faculty on the Columbus campus.
- Ensuring that all faculty members, regardless of their assigned location, are offered the departmental privileges and responsibilities appropriate to their rank; and in general to lead in maintaining a high level of morale.
- Ensuring that adequate supervision, mentoring, and training are given to those members of the faculty and staff who may benefit by such assistance.
- Issuing, with the advice of the Department Promotion and Tenure Subcommittee and the approval of the Office of Academic Affairs, a current version of the Department's Appointment, Promotion, and Tenure document, copied to all faculty, to the Dean of the College, and to the Office of Academic Affairs.
- After consultation with the eligible faculty, making recommendations to the dean of the college regarding appointments, reappointments, promotions, dismissals, and matters affecting the professional progress of members of the department faculty, in accordance with procedures set forth in Faculty Rules [3335-6](#) and [3335-7](#) and the department's Appointment, Promotion and Tenure Document.
- Facilitating and participating in prescribed [academic program review](#) processes, in collaboration with the dean of the college and the Office of Academic Affairs.

Other duties and details articulated in Faculty Rule [3335-3-35C](#) are discussed elsewhere in this document.

The Chair will convene an Executive Committee, comprised of current Program Chairs, to provide advice on programs, staffing, agenda, salary, and related matters. The Associate Chair will serve as an ex-officio member of this Committee. Other members of the Department may be invited to meetings on as needed basis.

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 document, subject when relevant to the approval of the Dean, Office of Academic Affairs, and Board of Trustees.

Operational efficiency requires that the Chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of department academic goals, however, is most successful when all faculty members participate in discussing and

deciding matters of importance. The Chair will therefore consult with the faculty on all educational and academic policy issues and will respect the principle of majority rule. When a departure from majority rule is judged to be necessary, the Chair will explain to the faculty the reasons for the departure, ideally before action is taken.

### **The Associate Chair**

The Chair may appoint a faculty member to assist in carrying out the duties of the Chair for the Department. The faculty member selected serves at the pleasure of the Chair with the title of Associate Chair.

Responsibilities for the Associate Chair are determined by the Chair and re-evaluated annually.

General expectations for this position include:

- Oversight of curricular matters.

This includes:

- Working closely with undergraduate and graduate studies committees
- Leadership in curricular aspects of program changes and development of new programs.
- Leadership in curricular aspects of course changes and course development
- Representing the department as needed as curriculum goes through various approval processes
- Supervision of assigned staff.
- Participation in mid-year and annual reviews of faculty and staff
- Working collaboratively with the Department Chair on a variety of projects, initiatives, and reports
- Representing the department at events as needed
- Serving on the Dean's Executive Council
- Participating on the EHE Curriculum Committee. This responsibility rotates annually among the three Associate Chairs
- Engaging in the overall leadership of the department
- Other duties as assigned may include, but are not limited to.
  - Overseeing the operation of the Student Services Office and its relationship with the Graduate Studies Committee.
  - Ensuring that curricular revisions, program and course approvals, and requests for new programs and courses are processed in a timely and efficient manner.
  - Serving as a liaison between Program Chairs and the Chair's Office.
  - Assisting with annual evaluations of faculty and staff.
  - Overseeing the scheduling of courses for the Department.
  - Supervision of some support staff.
  - Working with faculty on regional campuses.

### **The Assistant Chair for Enrollment Management**

The Chair may appoint additional faculty members to assist in carrying out the duties of the Chair for the Department. One particular role is the Assistant Chair for Enrollment Management.

Responsibilities for the Assistant Chair for Enrollment Management are determined by the Chair and re-evaluated annually. General expectations for this position include:

- Working with staff and program chairs on scheduling of courses.
- Supervision of assigned staff.
- Working collaboratively with the Department Chair on a variety of projects, initiatives, and reports
- Representing the department at events as needed
- Engaging in the overall leadership of the department
- Oversee process for assigning and approving lecturers and GAs
- Oversee efforts to engage student development and programming
- Co-lead the department-wide program leadership meetings
- Coordinate with Student Services on initiatives to support current students and attract new students
- Oversee Ed Studies Program Assessment (for graduating students)
- Other duties as assigned

### **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 can vote on all committees except the Committee of Eligible Faculty and the Promotion and Tenure Subcommittee. Each committee should maintain a copy of its minutes with the Department Chair as a permanent record.

All members of the department faculty will be enlisted in the joint tasks of governance and service. Staff and students will be enlisted as specified in this document as the Chair or respective committees determine necessary and appropriate to their respective concerns. There will be three elected committees serving as administrative/academic units for the Department as a whole. The three elected committees will be made up of five members and all committees will be elected by the Department as a whole. Each committee member will serve a three-year term. After committee members rotate off a committee, they cannot serve again on the same committee for a period of two years—this is not the case for alternates, who may serve again immediately. The committees will have three-year terms with staggered, yearly elections so two committee members rotate off a committee and two new members join every year.

In cases where leave (e.g., FPL) may prevent a member from completing term or to further balance rotations on/off committee, the Chair may grant a one-year extension and/or appoint a replacement member to complete the term.

The position of the Chair will rotate and be elected by the committee as a whole each year. The Chair's Office will administer elections. Nominations are open and self-nominations are encouraged.

The three elected committees are:

#### ***Graduate Studies Committee***

All elected members should in some way be affiliated with programs that have involvement with graduate education. All faculty on this committee must have P- or M- status. The Graduate Studies Committee carries out the functions of a Department graduate committee as outlined in the Graduate School Handbook. The Graduate Studies Committee consists of five (5) faculty

members, elected at large for staggered three-year terms, one (voting) doctoral-level graduate student selected by the committee, and one alternate faculty member who serves as the 7<sup>th</sup> voting member. Both of these last members serve no more than a two-year term. The Graduate Studies Committee may convene meetings of the graduate faculty as a whole as it deems necessary. The Graduate Studies Committee reports directly to the Graduate School, but is simultaneously responsible to the faculty of the Department. Thus, decisions of the Committee are to be communicated to the Chair and the graduate faculty of the Department. The Graduate Studies Committee is responsible for recommending action on inter-program plans arising from department curriculum initiatives, supports in further admissions reviews as deemed necessary, reviews student program progress, and department approvals on graduate courses and course policy and maintaining the department handbook. The Associate Chair will serve as an ex-officio (non-voting) member of this committee. Members of the committee will elect a chair annually.

Details about graduate advising and assistantships appear in **Appendix D**.

### ***Undergraduate Studies Committee***

All elected members should in some way be affiliated with programs or courses that have involvement with undergraduate education. The Undergraduate Studies Committee carries out decisions regarding undergraduate courses and programs within the Department. The Undergraduate Studies Committee consists of five (5) faculty members, elected at large for staggered three-year terms. The Undergraduate Studies Committee may convene meetings of the Department faculty, as it deems necessary. The Undergraduate Studies Committee reports directly to the Chair and faculty of the Department. Thus, decisions of the Committee are to be communicated to the Chair. The Undergraduate Studies Committee is responsible for recommending action on inter-program plans arising from department curriculum initiatives and department approvals on undergraduate courses and course policy. The Associate Chair will serve as an ex-officio (non-voting) member of this committee. Members of the committee will elect a chair annually.

### ***Promotion and Tenure Subcommittee***

The Promotion and Tenure (P&T) Subcommittee “assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues” (see the [AP&T document](#)). The P&T Subcommittee consists of at least five (5) tenured faculty members elected for staggered three-year terms from May 1 of one calendar year to April 30 three years later. A majority of the committee members must be professors and at least one member must be an associate professor. Subcommittee members are elected by nominations from the faculty at large, consistent with University and College rules. A professor alternate and an associate professor alternate shall also be elected. A chair will be elected by subcommittee members annually; the chair must be a professor. When considering cases involving clinical faculty, the Promotion and Tenure Subcommittee may be augmented by two non-probationary clinical faculty members.

### ***Additional Appointed Committees***

1. *Executive Committee*: The aforementioned “Executive Committee” will consist of the current Program Chairs. This committee will meet regularly with the Chair and designated leadership to discuss Department-wide issues. This committee also will meet every Spring Semester with the Chair and other designated leadership to assist with annual merit reviews of faculty. The committee might also be asked to provide advice on

procedural questions (e.g., on whether some funds should be set aside for equity adjustments), as allowable under College and University procedural rules. The Department, Associate, and any Assistant Chairs are ex officio members of the executive committee.

2. *Ad Hoc Search Committees:* Search committees for the filling of academic position vacancies are formed by the Department Chair, who will normally consult with the Dean and appropriate faculty and Program Chairs regarding committee membership. Unless superseded by the rules of the University, committee conduct and regulation is determined by the Department Chair. It is expected that the Search Committee Chair will be in communication with the Chair on progress and recommendations of the committee. Progress will also be reported, as appropriate to requirements of confidentiality and personal sensitivity, to the Department at faculty meetings. At least one member of each search committee must be a faculty member who is not a member of the program in which the search is being conducted.
3. *Scholarship Committee:* The purpose of the scholarship committee is to convene for the purposes of awarding scholarship. The group is convened by the Department Chair or designee to review scholarship applications and select recipients. The Scholarship Committee should reflect professional and demographic diversity within each program. The Scholarship Committee should include a combination of faculty, department leadership, program chairs, student services professionals, and fiscal officer. Committee members should review and evaluate each application by using the EHE Scholarship Rubric for all eligible scholarship applications.

Committee members should provide and submit a rationale as to why an individual has been awarded a specific scholarship and how they fit the requirements of the award. Committee members play an important role in the selection of scholarship recipients; however, the Scholarship Manager will approve all recipients and is ultimately responsible for the overall scholarship process. Committee members (one representative per program) are appointed by the Department Chair for 3-year terms. The Department Chair or designee chairs the committee.

4. *Diversity and Inclusion Committee:* The purpose of the Diversity Committee is to identify and implement equity-focused programming and outreach within the Department of Educational Studies. The activities of the committee should focus on a broad range of initiatives that promote community, collaboration, and education for students, faculty and staff. As a volunteer committee, the terms of members serving, as well as the number of members will vary. This committee includes faculty, staff and students, and the members elect a chair every 3 years in consultation with the Department Chair.
5. *Awards Committee:* The purpose of the Awards Committee is to create and implement a process for coordinating award nominations for honoring faculty and staff in our department. The committee seeks nominations for college, university, and community awards, and where appropriate association awards (e.g. AERA). The committee works collectively to generate and submit application materials in an effort to garner recognition of the stellar work of Educational Studies faculty, staff and students. As a



volunteer committee, the terms of members serving, as well as the number of members will vary. The members elect a chair every 3 years in consultation with the Department Chair.

6. *Mentoring Committee*: The purpose of the Mentoring Committee is to create and implement opportunities and programming that support the career development and trajectory of faculty, particularly those seeking promotion and/or tenure. As a volunteer committee, the terms of members serving, as well as the number of members will vary. The members elect a chair every 3 years in consultation with the Department Chair.

The Department faculty also elects members to College committees, as requested by the Dean. Ad hoc committees are formed by the Department Chair, on his or her own or on recommendation of Department faculty in meetings. They may be formed with terms certain or until their task is deemed completed, by the Chair or by the faculty. In either case, they may be disbanded by the Chair if their judgment is that the Committee is no longer functional for accomplishment of the task assigned.

### **Department 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 academic term and normally will provide for monthly meetings.

Dates for these meetings are announced prior to the start of the semester. An annual meeting takes place within fourteen (14) calendar days after the official start of the autumn semester.

Voting members of the Department must be notified of the time and place at least ten (10) days prior to the annual meeting.

The agendas for the annual and monthly meetings are prepared by the Chair, according to priorities of faculty and College issues. Each agenda includes reports from departmental committees and discussion with faculty. Agenda items are due one week prior to each department meeting.

Special meetings can be called either by (a) the Chair, (b) the Executive Committee, (c) the chairs of either of the standing committees, or (d) at least ten (10) members of the voting faculty. The time and place of such meetings shall be publicized by the Chair in a manner so that voting members are aware of such meetings in a timely manner or at least one week in advance of the meeting, if possible.

The Chair will distribute minutes of previous faculty meetings to faculty as soon as they are available. 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.

Department meetings are conducted by the Chair and designated leadership according to Departmental convention. In the case of procedural disagreement, Robert's Rules of Order are followed. Meetings will be conducted in a spirit of collegiality, with the common objective of reaching agreement on the business before the meeting. The Chair, as chair of the meeting, shall be

responsible for a fair and reasonable treatment of questions and discussion and for expeditious conclusion of agenda items. In general, and where consensus can be reached through a reasonable period of discussion, a “town meeting” style shall govern procedure.

A quorum for all meetings of the Department shall be 50% of the eligible voting faculty.

Either the Chair or one-third of the quorum 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 50% plus one vote of all eligible voting faculty members. Balloting will be conducted by mail, e-mail, or via web-based methods when necessary to assure maximum participation in voting. 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 make the final decision.

Special policies pertain to voting on personnel matters, and these are set forth in the Department’s Appointments, Promotion, and Tenure document.

Where a majority of members wish to refer an item to an administrative office or to a committee, such a motion shall take precedence. Debate is allowable, but will be restricted to the specific motion, and to new opinions or information.

Where a specific motion needs to be put, by wish of a member or ruling of the Chair, the motion shall be made, seconded, discussed, voted upon, and decided by simple majority of the voting members; abstentions are not counted. Amendments may be made and discussed. Each amendment must be settled before returning to the previous amendment, or to the main motion. Status of “amendment” (as opposed to new motion) shall be determined by the Chair.

Statements “out of order” (i.e., not relevant to the business or not appropriate to behavior or courtesy expected in the meeting) will be noted by the Chair, but may be noted by any member of the meeting as adversely affecting the meeting procedure (not used as means of argument).

A challenge to a ruling of the Chair shall be immediately accepted by the Chair, or if not, immediately voted upon by the membership. If any matter affects the Chair substantively, the Associate Chair shall assume the chair for action on the challenge.

The Associate Chair may also assume the chair in the Chair’s absence.

Departmental business discussed at faculty meetings is subject to approval of the faculty, with the usual caveat of majority rule with regard for minority right and to other provisions in this Pattern of Administration and the rules of the College and University. The Chair maintains responsibility for decisions that have fiscal/budgetary implications.

### **Faculty Teaching Load**

The university’s policy with respect to teaching is set forth in Volume 1, Chapter 2, Section 1.4.3 of the Office of Academic Affairs [Policies and Procedures Handbook](#). Additional guidelines with respect to faculty teaching load are found in the Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.4.3.1. The information provided below supplements these policies.

A full teaching load (40%) for tenure-track faculty in the Department typically translates into four three-credit hour courses per academic year/two courses per semester. It is possible for one of the assigned courses to be taught during the summer term, with prior approval from the Chair and under unique circumstances. Minimum enrollments as set forth by the Dean's office are required for a course to run, although the Chair has the discretion to allow courses with an enrollment below the minimum to still run. When courses are cancelled due to low enrollments, the faculty member must be assigned to perform other duties to make up for that course; those other duties can include assignment to teach a different course (even if in another program), assignment to teach an additional course during a subsequent semester, or performance of other duties within the domains of teaching (e.g., curricular development), research, or service. Teaching responsibilities include supervising independent studies, sitting as a member of master's, candidacy, and dissertation committees, and other mentoring activities. This load may be adjusted by the Chair, in consultation with the faculty member and the program, in cases where research activity or advising is exceptionally high or low, or where a scholarly activity is exceptionally burdensome to the faculty member and valuable to the Department. New tenure-track faculty usually are assigned no more than one course in their first semester in the Department (unless negotiated individually).

All clinical faculty will teach eight three-credit hour courses per year and provide service through the year unless otherwise specified by the Chair. Workloads for faculty on regional campuses are negotiated between the Chair and either the Dean or Associate Dean of the regional campus.

As previously noted, senior lecturers will teach four 3-credit courses each semester. This load can be adjusted in consultation with the Chair based on program needs.

Course overload for Tenure-Track Faculty, Clinical Faculty and Senior Lecturers is to be approved by the Chair. Compensation is set at a standard rate per 3-credit course. If faculty teach two sections of the same course, they receive a specified amount above the standard rate. Rates may be reduced in cases of reduction to the department budget. Each section taught as an overload is to have minimum enrollment in alignment with department standards. Special circumstances may be approved at the Chair's discretion.

### **Faculty Duties and Responsibilities**

The university's policy with respect to faculty duties and responsibilities is set forth in the Office of Academic Affairs [Policies and Procedures Handbook](#), Volume 1, Chapter 2, Section 1.4.3. Additional information can be found in the [College POA document](#). The information provided below supplements these policies.

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

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.

During on-duty periods, faculty members are expected to be available for interaction with students, research, service and departmental meetings and events even if they have no formal course assignment. On-duty faculty members should not be away from campus for extended periods of time unless on an approved leave (see section on leaves below) 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 department chair 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 department, college, university, and/or community. The department chair has the discretion to require faculty to work on campus if there are concerns that responsibilities are not being fulfilled through telework.

All faculty are required to make themselves available to students. They may schedule regularly-held office hours, and/or provide students with the opportunity to schedule a meeting with the faculty member. All faculty will include contact information on their course syllabi.

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 OAA [Faculty Conflict of Commitment policy](#).

In crisis situations, such as life-threatening disease (COVID, for example) or physical dangers (natural disasters, for example), faculty duties and responsibilities may be adjusted by the department 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.

The Department Chair will seek to reach a reasonably equitable distribution of work among faculty, being conscious that balance refers to total responsibility, not to sameness of profile.

### ***Activities and Responsibilities of 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.

The Department encourages an active program of research on the part of each full-time tenure-track faculty member, including seeking external support for major research projects. One of the fundamental goals of all faculty should be the support of graduate students.

Tenure-track faculty generally allocate 40% of their time toward instruction and mentoring, 40% of their time toward research, and 20% of their time toward service. Course load is generally two, three-credit hour courses per semester. However, differential workloads may be

negotiated with the Chair.

Faculty are responsible for updating their performance data in the university's approved data-management system annually.

***Special Assignments (SA)***

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

Untenured faculty will normally be provided an SA during their probationary period. Reasonable efforts will be made to provide SA opportunities to all productive faculty on a rotating basis subject to the quality of faculty proposals, including the potential benefit of the research to the Department, and the need to assure that sufficient faculty are always present to carry out Department work. Eligibility for Special Assignments will conform to College and University guidelines on the timing of SAs.

The Special Assignment releases a faculty member from some duties for a period of up to one full semester so that he or she may concentrate on a scholarly or service endeavor or invest in a relatively brief professional development opportunity. SA proposals generally emphasize completion of a research project or enhancement of research skills and knowledge. However, an SA may be used for investment in pedagogical or administrative skills and knowledge when these are judged to be mutually beneficial to the faculty member, his or her academic unit, and the Department. During an SA, faculty are still required to attend meetings of the Promotion and Tenure Subcommittee to review cases being considered for tenure and promotion. Any faculty member is eligible to apply for an SA. SAs are awarded on a competitive basis within the department.

No more than 10 percent of the faculty in the Department may be on a Special Assignment in any one academic year. The Department must assure the Associate Dean of Academic Affairs of the College that sufficient faculty are on duty at all times to meet obligations to students and other constituencies, and to conduct business. Faculty within specialization areas should consult with each other and with the Program Chair so that course coverage is maintained at no additional cost to the Department or College.

Faculty should submit requests for SAs on the Department's application form to the Chair by each spring semester of the academic year prior to the academic year the SA would be taken.

The Chair has discretionary authority to assign and approve a Special Assignment to a faculty member even though that faculty member has not submitted a request.

The Chair, in consultation with the Associate Chair and Program Chairs, makes final decisions on the approval of SAs. Further approval at the College level may be requested by the Dean, but is generally not required.

Faculty who complete an SA during the spring semester must submit a report of the activities and outcomes of the SA to the Chair by September 1<sup>st</sup> of the following academic year; those completing an SA during the autumn semester must submit a report by March 1<sup>st</sup> of the

following semester.

### ***Activities and Responsibilities of Clinical Faculty***

Activities and responsibilities of clinical faculty include three primary areas: supervision of practicum experiences and teaching, advising and service in the unit, and voting privileges in unit governance. These three areas will be discussed separately.

**Teaching and Supervision of Practicum Experiences.** The primary responsibilities for clinical faculty are expected to be in the area of teaching and supervision; their teaching load would be a minimum of 80% of their overall clinical faculty workload. Courses taught by clinical faculty are anticipated to be practitioner-oriented courses, where theory and practice are applied in a clinical setting. In addition, highly qualified clinical faculty serve as supervisors for clinical experiences.

**Advising and Service in the Program.** A secondary area of responsibility for clinical faculty is service on Program, Department, and College committees. The nature of this service is likely to differ depending on the program, and as need varies across programs. In some programs, it is anticipated that a clinical faculty member might supervise undergraduate research; in other programs they might be recommended to apply for M-level Graduate Faculty status in the Graduate School. Faculty members seeking M graduate faculty status must hold a clinical faculty appointment and a master's degree or higher, or equivalent experience knowledge and expertise. Approval to advise and supervise graduate students must be obtained from the Graduate School as set forth in Faculty Rule [3335-5-29](#) and detailed in the University's [Graduate School Handbook](#).

**Role in Unit Governance.** As indicated by Faculty Rule [3335-7-01](#), clinical faculty do not have a vote on appointments of tenure-track faculty. However, the Promotion and Tenure Subcommittee may be augmented by two non-probationary clinical faculty members when the candidate is a clinical faculty member. Information on the participation by clinical faculty in appointment and promotion reviews is contained in the [Appointments, Promotion and Tenure document](#). Clinical faculty would not be appointed to the College Promotion and Tenure Subcommittee, except as noted for promotion cases involving clinical faculty. However, clinical faculty could be appointed to other College-level committees, per the College Pattern of Administration.

**Differentiation of Responsibilities of Clinical Faculty from those of Tenure-Track Faculty.** Clinical faculty may teach courses that address theory, practice, or a combination of the two. Regardless of content, clinical faculty should be able to teach courses that are translational to field-based practice within "real world" settings. Second, the primary responsibilities for clinical faculty are expected to be in the area of supervision and teaching. Third, there would be no requirement that clinical faculty perform research to achieve Clinical Assistant, Clinical Associate, and Clinical Professor status.

Fourth, clinical faculty are eligible for M-status in the graduate school, and as such can advise master's theses and serve on dissertation committees, as an additional member, provided the dissertation committee is chaired by a tenure-track faculty with P-status.



### ***Activities and Responsibilities of Associated Faculty***

**Senior Lecturers.** Senior lecturers carry a 100% teaching load (i.e., four 3-credit courses per semester).

**Part-time Lecturers.** Part-time lecturers provide course coverage when there are not sufficient faculty and senior lecturers to cover the curricular requirements of a program. They are paid at a standard rate per 3-credit course. If they teach two sections of the same course, they are paid a standard rate above 3 credit hours. These rates may be reduced in cases of reduction to the department budget. Each section taught by a Part-time Lecturer is to have minimum enrollment as specified by the Department Chair. Special circumstances may be approved at the Chair's discretion.

**Adjunct Faculty.** Adjunct faculty, when appointed by the Chair in consultation with the program faculty and with approval of the Dean, are expected to teach or co-teach one course per year. They are paid at a standard rate per 3-credit course. If they teach two sections of the same course, they are paid a standard rate above 3 credit hours. These rates may be reduced in cases of reduction to the department budget. Each section taught by an Adjunct faculty is to have minimum enrollment as specified by the Department Chair. Special circumstances may be approved at the Chair's discretion.

### **Parental Modification of Duties**

The Department 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's guidelines on parental modification of duties to provide its departmental members flexibility in meeting work responsibilities within the first year of childbirth/adoption/fostering. See the College [Pattern of Administration](#) for details.

The faculty member requesting the modification of duties for childbirth/adoption/fostering and the Department 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.

### **Course Offerings and Teaching Schedules**

Although the Department Chair and Associate Chair have ultimate responsibility for the course schedule, Program Chairs, in consultation with program faculty, develop the schedule for courses for their program. Although every effort will be made to accommodate the individual preferences of faculty, the department's first obligation is to offer the courses needed by students at times most likely to meet student needs. To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week, and to offer courses within the university's established guidelines for timing of course offerings under the semester calendar. 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 as required by Faculty Rule [3335-8-17](#), by the College, or the Chair will normally be cancelled and the faculty member

assigned other duties (see above, Teaching Load).

Courses offered during the summer must meet minimum enrollments as set forth by the College.

Program Chairs will normally initiate the proposed schedule approximately one year in advance.

In consultation with the Program Chair, faculty may establish enrollment caps for courses, subject to the approval of the Department Chair, in light of the financial needs of the Department, and the curricular needs of students' programs. All final decisions on enrollment caps reside with the Department Chair.

The Department continually reviews its curriculum for academic content, articulation of courses, and accessibility to students.

Evaluations of teaching are expected in every class through student evaluations, peer evaluations, and annual self evaluations, and are presented in detail in the Department's [Appointments, Promotions, and Tenure document](#). While recognizing there are many forms of evaluation, the Department requires observable procedures and standards for course evaluation. The Department also expects program evaluation to be carried out formatively. The Chair may appoint a special committee to make an evaluative report of any specialization area.

### **Allocation of Department Resources**

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

The Chair will discuss the Department budget at least annually with the faculty and discuss 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 availability, 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 specializations and grouping staff functions to maximize efficiency.

Office space is monitored by the responsible staff member. As vacancies occur, or as different organizational requirements occur, the Chair will assign or reassign space. Space allocation to faculty will proceed according to need. The Dean may allocate additional space, remove space from the Department, or determine particular allocations. The Chair will make every effort to organize office space to enhance the collegial atmosphere of the Department and to facilitate communication and partnerships among faculty.

Associated and emeritus faculty are assigned space as needed and as available. Visiting faculty on paid appointments are allocated an office space. Visiting scholars (e.g., international scholars here for short periods), GAs, and fellowship students are assigned a workstation, if available.

The criteria for merit salary increases is discussed in the Department APT document.



The Chair, according to University scales, may hire student or technical assistants.

Faculty members will be given individual allocations with which to cover expenses such as professional travel, supplemental technology purchases, etc. The amount of the allocation for a particular year will be determined by the Chair based on funds available and announced at the beginning of the fiscal year. Attempts will be made to provide non-tenured faculty with additional support funds, when the budget can sustain such costs. Other faculty members and those with faculty-like responsibility may also be given allocations, as determined by the Chair. Allocations normally are proportional to the percentage of the appointment. Except in unusual circumstances, the Chair will not grant requests from individual faculty for funds beyond the annual allocation. In times of budget reductions, such allocations may be reduced or suspended to preserve the short- and long- term viability of the Department's financial wellbeing.

Prudent use and consultation with staff on the most efficient procedures will make it possible to continue a largely self-governed style of equipment and supplies management. Whenever possible, faculty and GTAs are encouraged to present work to staff in good order and with adequate lead time, and to allow for preparation of major duplication tasks outside the Department.

Specialization areas ("Programs") are allocated a budget for costs from which expenditures are initiated by the Program Chair. Program Chairs must submit a proposed budget if requesting program-specific funds. Office supplies will be handled centrally by the Chair's office. In times of budget reductions, such allocations may be reduced or suspended to preserve the short- and long-term viability of the Department's financial wellbeing.

Special faculty accounts are maintained by the Department fiscal officer under immediate supervision of the responsible faculty member. Nevertheless, such funds remain Department funds, subject to the same authority and regulations as general funds. In case of general budget reductions, those funds will normally be reduced proportional to other Department accounts. The fiscal officer maintains such accounts as a Department officer. The accounts will be assessed an overhead charge, if required by the College and/or the Department.

In addition to adhering to University, College and Department policies and procedures, expenditures are to clearly outline the business purpose and the benefit to the mission of the Department, College and University. Further, in times of budget reductions, faculty are expected to adhere to Department, College and University spending principles and guidelines and limit the use of all fund types such that expenditure is limited to essential and immediate needs pertaining to teaching and research.

### **Leaves and Absences**

The university's policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs [Policies and Procedures Handbook](#) and Office of Human Resources [Policies and Forms website](#) . The information provided below supplements these policies.

#### ***Discretionary Absence***

Faculty are expected to complete a [request for absence](#) form well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting or to give an invited

presentation) 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. Faculty Rule [3335-5-08](#) requires that the Office of Academic Affairs approve any discretionary absence of ten or more consecutive business days.

### ***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 promptly inform the Chair 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](#).

### ***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](#). The Chair submits requests for leave to the Associate Dean for Faculty. If approved, the Dean will seek approval from the Vice Provost for Academic Policy and Faculty Resources.

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

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

The Chair's final recommendation to the Dean regarding an FPL proposal will be based on the quality of the proposal, consultation as needed with the Program Chair of the faculty member requesting the leave, proposal's potential benefit to the Department (per the mission, vision, and values) and to the faculty member, as well as the ability of the Department to accommodate the leave during the time requested.

The Faculty Professional Leave Program should be considered for any period of intensive study or research of one or two semesters. Only tenured faculty with at least seven years of service as a faculty member at Ohio State are eligible for a Faculty Professional Leave. Years of service at another university and years served in associated appointments cannot be credited toward the required years of service at Ohio State.

A two-semester FPL may not bridge two academic years (i.e. spring semester and the following autumn semester).

A Special Assignment and an FPL may occur in contiguous on-duty semesters even if they bridge academic years. An FPL will not be granted for less than one semester. An FPL must be for a continuous period but may bridge an off-duty semester.

### ***Application Procedures for FPL***

Faculty must follow the University and College guidelines when applying for an FPL (see the [Policy on Faculty Professional Leave](#)).

The faculty member submits a Professional Leave Application (FPL) to the Department Chair by January 15, including the continuation of service statement. Faculty can apply for an FPL for one or two semesters after seven years of service as a faculty member.

The Department Chair makes a written recommendation to the Associate Dean on FPL applications no later than April 1. If an FPL request is to begin in the summer, the request must be to the Associate Dean no later than February 1, as requests for FPLs to OAA are due at “least two months prior to the beginning of the proposed leave.” These timelines may be adjusted when there are extraordinary circumstances (e.g. Fellowship Award later in the year).

The Chair’s letter of recommendation must include: the faculty member’s application and CV, a statement that there are adequate funds available for the FPL, and an explanation of how teaching and student advising responsibilities of the absent faculty member can be met satisfactorily.

The Dean makes a recommendation to the Executive Vice President and Provost, and this request must include two copies of the completed application including letters of support, continuation of service statement signed by faculty member, Department Chair and Dean, and one copy of the faculty member’s CV.

The Executive Vice President and Provost seeks Board of Trustees approval. OAA alerts the Dean of the outcome. The Associate Dean for Faculty Affairs notifies the applicant of the final status with a copy to the Department Chair and College Fiscal Officer. The Chair notifies their Human Resource administrator so the decision can be recorded appropriately in the University Payroll System.

### ***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](#).

### **Supplemental Compensation and Paid External Consulting Activity**

Information on faculty supplemental compensation and paid external consulting is presented in the OAA [Policy on Faculty Compensation](#). Information on paid external consulting is presented in the university’s [Policy on Faculty Paid External Consulting](#). The information provided below supplements these policies.

The department expects faculty members to carry out the duties associated with their primary appointment with the University at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation (including external consulting) must be approved by the Department Chair regardless of the source of compensation. This approval occurs through completion of the required [conflict of interest form](#). Approval will be contingent upon the extent to which a faculty member is carrying out duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with duties, and the academic value of the proposed consulting activity to the department. In addition, it is university policy that faculty may not spend more than one business day per week on supplemental compensated activities and external consulting combined.

Faculty with an administrative position (for example, chair, associate/assistant dean, center director) remain subject to the Policy on Faculty Paid External Consulting 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 them, such textbook or material may be required for a course by the faculty member only if the department chair or designee has approved the use of the textbook or material for 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.

A faculty member in Educational Studies is entitled to earn supplemental compensation, although it is expected that any supplemental or external activity will not interfere with a faculty member's ability to perform their teaching, research, or service to the Department, College, or University and, preferably, will contribute to the mission of the Department.

See **Appendix B** for additional information about external funding.

### ***Financial Conflicts of Interest***

Information on faculty financial conflicts of interest is presented in the university's [Policy on Faculty Financial Conflict of Interest](#).

A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member's or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting, or reporting research.

Faculty members are required to file conflict of interest screening forms annually or 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.

For additional details on paid external consulting, see **Appendix C**.

## **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.

### ***Salary Grievances***

A faculty or staff member who believes that 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 file a more formal salary appeal (see 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.

### ***Faculty Misconduct***

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

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

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

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

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

Ohio State's policy and procedures related to affirmative action, equal employment opportunity, and non-discrimination/harassment are set forth in university [Policy 1.10](#).

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

### ***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](#).

### ***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 Department Chair, the Chair will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the Chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the Chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid. 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.

### ***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 3335-23-05.](#)

Lori Patton Davis  
Department Chair  
August 2021

## **APPENDIX A**

### **CONSIDERATIONS FOR PREPARING FOR FPL AND SA**

The criteria for the Chair's prioritization of requests are:

- Importance and feasibility of the project.
- Relevance to departmental mission, vision and values and program emphases
- Quality of experience on previous SA as conveyed in report filed in upon returning from that SA.
- Applicant's record of research and service since last SA or in proceeding three years.
- Equitable distribution of SAs among faculty.
- Teaching and advising requirements in the applicant's specialization area.
- Funding obtained to supplement SA (such as a fellowship or grant) and efforts made to obtain supplemental funding.
- Competing applications for the period.

## **APPENDIX B**

### **EXTERNAL FUNDING**

The Department recognizes the need for continuous institutional funding for research assistants and other research support, but also recognizes the dwindling capability of universities to guarantee such aid. Therefore, individual faculty are strongly encouraged to pursue external funding to support students.

When contemplating or planning to apply for a grant, faculty should meet early, prior to planning or developing budgets, with the Department fiscal officer to discuss the financial impact of the grant on the Department's budget, the Chair, and a budgeting expert from the Associate Dean for Research's office to discuss the financial impact of the grant on the Department's budget. Topics to cover with Department fiscal officer include, but are not limited to, request for cost share for GRAs, salaries, supplies and materials; faculty release time; indirect cost recovery (if multiple departments are involved); GRA hires and start and end date requirements of GRA appointments and coverage of tuition and fees. Principal Investigators (PIs) should develop the budget with the staff from the Associate Dean for Research's office and discuss the final budget with the Department fiscal officer and the Chair before submitting the grant proposal.

In formulating grant applications, faculty should consider carefully direct expenses and equipment expenditures. All federal and state guidelines must be followed in the usage of direct costs. Any equipment purchased with grant funds becomes the property of The Ohio State University after the grant has ended, unless otherwise specified by the funding agency.

Faculty with grants are expected to maintain expenditures within grant budget and prevent overruns or the transfer of expenses that will befall to the Department because of issues with the grant. PIs and coPIs are to review grant budget report via the PI Portal on a routine and at least

monthly basis with consultation as needed with the Sponsored Program Officer (SPO) in the Office of Sponsored Programs (OSP) and the budgeting specialist in EHE Office of Research and Innovation (ORIC). The Department fiscal officer may be consulted as needed but specialization in grants budgeting resides in the aforementioned areas. Further, PIs and coPIs are expected to ensure grants are in active status while incurring expenditures, including grant extensions and subsequent-year funding. The Department cannot allow ongoing grant expenses to incur on Department funds, PIs and co-PIs must resolve such issues with the funding agency and with OSP.

The arrangement of an Educational Studies faculty serving as a consultant or subcontractor on a grant must be negotiated with the Chair well in advance of submitting the budget. The terms will be adjusted in light of the circumstances of the faculty member and the purpose of the grant.

Faculty may buy out their teaching time as described below. According to College policy, all faculty must teach a minimum of one course per year, regardless of grant funding.

### ***Co-PI Status***

Faculty serving as consultants or subcontractors on grants are expected to request co-Investigator status, with indirect overhead (IDCs) credited to the Department of Educational Studies in proportion to the amount budgeted for the co-Investigator. Faculty must inform the Chair well in advance of the due date of a grant proposal so that IDCs can be negotiated with other Chairs as needed.

### ***Indirect Cost Recovery and Release Time Expected***

Currently, the Department does not receive any of the overhead or “indirect” payments from grants, all of which is retained by the College. Nevertheless, the Department incurs expenses in administering grants, even in supporting the applications. The Department’s only source of “overhead” (apart from direct, budgeted expenses) is through salary recovery for “Release Time” (Release Time is the percentage of salary paid by the grant). Consequently, PIs are expected to provide release time in their grants, particularly if they are earning additional or off-duty compensation. The exact amount of release time will be considered individually and must be negotiated with the Chair in advance of submitting a budget for the grant. A desirable goal would be an equal match between release time and additional or off-duty compensation.

Faculty earning supplemental or off-duty compensation while serving as consultants or subcontractors on grants are also expected to request release time that matches the amount of supplemental or off-duty compensation.

Release time for one course should be calculated at the rate established by the College (currently 20%) of the nine-month salary. If rate of release time is less than the established rate of the faculty member’s salary required to buy out the teaching of a course, the rate of release time may be “banked,” i.e., when the release-time account accrues to the 20% sufficient to buy out the teaching of a course, then the faculty member may buy out a course with approval from the Chair. If Faculty have 20% or more release time in a one-year period but forgo a course release, the course release may be utilized in a future year at the discretion of the Chair.

When a grant proposal includes course release(s), and the proposal was approved upon such criteria, the release time must be applied to the grant(s) in the year(s), and at the rate, indicated in the proposal. Any variance must be reviewed and approved by the Chair prior to the anticipated start of the release time.



***Allocation to Faculty from Release Time***

The current formula for distribution of salary savings or Release Time is that the College retains 20% and distributes 80% to the Department. The Department in turn distributes 20% of its receipts to the faculty member generating the salary savings. The remainder is retained by the department to fund instructional costs. The allocation to the faculty member may be utilized to expend for approved business purposes.

**APPENDIX C**

**PAID EXTERNAL CONSULTING**

A faculty member must complete the *Paid External Consulting Approval Form* for each consulting arrangement. These forms shall be filed with the Chair or, in the case of an administrator, with the individual to whom he or she reports. All paid external consulting related to one's area of expertise requires prior approval. 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](#).

All absences from duty of one full business day or more resulting from consulting, and all absences resulting from consulting that cause a missed commitment, such as a class, require the prior approval of the Chair or other department administrator.

A new consulting approval form is required if the activity continues into another fiscal year. Each non-continuing activity during a fiscal year requires a separate form. The *Paid External Consulting Approval Form* must be approved by the Chair and Dean.

Under Ohio law, the University owns any intellectual property that is a "product of University research" as defined in the Policy on Patents and Copyrights. Faculty may not, in connection with paid external consulting, use the University name or the fact that they are affiliated with the University, in a manner that implicates the support or official position of the University.

Faculty may not use University letterhead in connection with paid external consulting, nor may they use University facilities and other resources to support consulting unless permission is obtained from the tenure initiating unit Chair and the University is appropriately compensated. Faculty are personally responsible for any damages or claims for damages which may arise in connection with their consulting activities.

External professional activities are those that reflect normal and expected public service activities of faculty and that do not entail compensation beyond reimbursement for expenses or a nominal honorarium.

These activities include service to governmental agencies and boards such as peer review panels and advisory bodies to other universities; presentations to either professional or public audiences in such forums as professional societies, libraries, and other universities; and peer review activities undertaken for either for-profit or nonprofit publishers.

In the Department of Educational Studies, faculty are required to declare all paid external work to the Chair and complete the related [forms](#). Such declaration shall account for External

Consulting rules above, for Conflict of Interest, and shall indicate how the external work is accommodated outside of faculty duties.

- Normally off-duty semesters are exempt from restrictions on consulting activity.
- All grant and consulting activity imposing in any way on Department resources is to provide for compensation.
- Indication of unsatisfactory performance of faculty duties will occasion restriction by the Chair of paid external consulting.
- Release time monies from outside consulting or funded research may be used for teaching release when approved by the Chair. In no case is this automatic or to be individually contracted by the faculty member to a replacement instructor. Typically, a Memorandum of Understanding (MOU) must be in place and properly approved by the university in such cases.

The Department adheres to University policies on supplemental compensation.

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 appears in the section on Faculty Duties and Responsibilities.

## **APPENDIX D**

### **GRADUATE ADVISING AND GRADUATE ASSOCIATESHIPS**

General information regarding the purpose of graduate study in the Department of Educational Studies and specific information on Graduate Associate titles, responsibilities, eligibility, monitoring, offers of appointment, teaching load and work expectations, stipend, re-appointment, other employment, grievance procedures, and benefits are contained in the Department's Graduate Student Handbook. Reference is made here only to particular policies and procedures that guide the interactions of faculty and students in response to Department responsibilities and relationship of Educational Studies with the Graduate School.

Graduate advisees are accepted by individual faculty advisors as well as by the Department. Assignments are made according to the specialization interests of the student and the faculty member. Students have the right to change advisors, subject only to the consent of the new advisor.

The Educational Studies Change of Advisor form shall not require the signature of the previous advisor, but advises the student that, as a matter of courtesy, the student should inform the previous advisor of the change. In any case, a student's primary advisor should be linked with their affiliated sub-plan.

Students are expected to have access to other Department faculty and to the Chair, in addition to their advisors and program professors. Faculty are expected to attend to the expeditious progress of all students and to make concerted efforts to ensure students from historically marginalized groups experience equitable and supportive advising relationships. Faculty are expected to demonstrate

concern for students' success and well-being, as well as be responsive to student needs where appropriate. Faculty are expected to mentor graduate students in research and to work with graduate students so that the students gain the experiences they will need to be competitive for jobs upon graduation. The Graduate Studies Committee will periodically review the membership categories of graduate faculty to examine the track record of the faculty member in advising and mentoring graduate students. The review may also include any written complaints filed against the faculty member by graduate students as per faculty rule [3335-5-04](#). The Graduate Studies Committee may recommend to the Graduate Council that the category P level be continued, reduced (changed from P to M) or removed, or that the faculty member's graduate faculty status be considered probationary until certain specified conditions are met. Appropriate documentation must accompany such a recommendation, including verification that the faculty member has been notified of the possible action and has been allowed to respond in writing within a timeline specified by the Graduate Studies Committee. The faculty member's response, if any, must be included in the information sent to the Graduate School. The Graduate Council will review the recommendation and forward its findings to the Dean of the Graduate School for final action. The Graduate School can approve, deny or work with the Graduate Studies Committee and/or Chairs and Deans to define a probationary plan.

Faculty members with M graduate faculty status may:

- advise master's students and professional doctoral students.
- participate in the governance of graduate education at all levels within the university.
- serve on doctoral examination committees as an additional member at the discretion of the Graduate Studies Committee. Note, M- Status faculty may serve as one of the 3 committee members for PhD students for the dissertation committee or one of the 4 for PhD students for candidacy. Not an additional member. M- Status does not require Grad Studies approval.

### **Graduate Associates**

Appointments and re-appointments of Department-funded Graduate Associates (GAs) are made by the Chair in consultation with the Associate/Assistant Chairs, Program Chairs, and EHE GA Manager. All appointments are subject to available funds, comparability of workload history, Department or program priority, and GA performance, as judged by faculty in the specialization area, research supervisor, or responsible Department officer. Final employment decision rests with the Department Chair in alignment with college GA policies.

Graduate Associates are assigned to specific positions for their employment, not to people. GA positions are annually contracted and must be re-applied for each year. For graduate teaching associates (GTAs), the load is equivalent to two three-credit hour courses per semester. Graduate students employed as Graduate Research Associates (GRAs) or GTAs should be engaged in either teaching or research-related work. Neither GRAs nor GTAs should be assigned clerical responsibilities as part of their normal loads. On special circumstances, a Graduate Administrative Associate (GAA) appointment may be made where administrative duties are necessary to fulfill the mission of the Department.

Graduate Associates must show reasonable progress toward a graduate degree, as determined by duration in program, adequacy of grades, and advisor evaluation of progress. It is the responsibility of the Graduate Studies Committee to determine the specific benchmarks that define "reasonable progress."

Monitoring of GA eligibility and satisfactory degree progress is done by the advisor and reported annually to the Chair. An evaluation of each GRA, GAA, or GTA's performance should be conducted annually. Final authority rests jointly with the Graduate Studies Committee and the Dean of the Graduate School.

If GA performance is determined to be unsatisfactory, the supervisor should collect documentation of communications and performance feedback and work with the EHE GA Manager, EHE HR, and the Graduate Studies Chair to discuss and create a Performance Improvement Plan (PIP). The Department and College may dismiss any GA mid-year for unsatisfactory performance. The GA Manager should be notified any time a GA appointment will be terminated to ensure the appropriate steps are taken with the Graduate School and HR.

The Chair's office will maintain a tentative timeline delineating the dates of decisions pertaining to GA appointments, contingent upon receipt of GA allocations from the College. The general timeline includes:

Application available to students: December through mid-January

- \_Application review: Mid-January through mid-March
- \_Funding communications to students: mid-March through mid-April
- \_Students receive contracts: end of May through mid-June
- \_GA Appointment dates:
  - **Autumn:** August 16-December 31
  - **Spring:** January 1-May 15
  - **Summer:** May 16-August 15

The Chair's office will maintain a timeline delineating the dates of decisions pertaining to GA appointments and will attempt to distribute the timeline by the end of fall semester, contingent upon receipt of GA allocations from the College.

The Chair's office will provide any student accepting a GA appointment with a Graduate Associate Appointment Letter stating the terms of the appointment. This form or letter is signed by the student and by the Chair or designee. To the extent possible, the letter should include anticipated courses to be taught by a GTA, stipend level, percentage of fees covered, anticipated length of appointment, explanation of specific duties and responsibilities of student's individual position as necessary.

The typical period of appointment for GAs is mid-August of each year through mid-May. Appointments of shorter duration are determined by the Chair. Availability of summer appointments is based on need and availability of funding. Offers for summer appointments will typically be made early in spring semester by the Chair.

Teaching workload for a TA is one, three-hour course per 25% appointment; in most cases this will amount to two three-hour courses per semester for a 50% appointment. Workload for other GAs is 10 hours per week per 25% appointment, assigned by the Chair or immediate supervisor.

Every effort will be made to ensure equitable workloads across and within GA categories. Comparability will be monitored by the Chair and the Graduate Studies Committee in

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consultation with advisors of the GTAs, GAAs, and GRAs.

Minimum stipends are determined by the College and/or the Graduate School.

Re-appointment as a GA or termination will be based on periodic reviews by the advisor and specialization area, concurrence by the Chair, and conditions set by the Graduate School, in consultation with the EHE GA Manager.

A GA may bring a complaint to the advisor, supervisor, Graduate Studies Chairperson, head of the employing unit, GA Manager, or College Dean. When recourse to these persons does not provide resolution, the GA should bring the complaint to the Graduate Studies Committee, which will report to the Chair. The Department Chair will, in turn, report to the Graduate School, whose Council on Research and Graduate Studies has established grievance procedures.