Pattern of Administration
for
The Ohio State University
Department of Mathematics

Approved by the Office of Academic Affairs: June 15, 2026

TABLE OF CONTENTS

I. INTRODUCTION 4

II. DEPARTMENT MISSION 4

III. ACADEMIC RIGHTS AND RESPONSIBILITIES 4

IV. FACULTY AND VOTING RIGHTS 4

V. ORGANIZATION OF DEPARTMENT SERFVICES AND STAFF 5

A. Assistants to the Chair and Assistants to the Vice-Chairs 5
B. Fiscal Office 6
C. Mathematics Research Institute Office 6
D. Undergraduate Math Advising Office 6
E. Course Office 6
F. Office of Instructional Support 6
G. Office of Enrollment Management 7
H. Technology Support Office 7
I. Graduate Office 7

VI. OVERVIEW OF DEPARTMENT DECISION-MAKING 7

VII. DEPARTMENT ADMINISTRATION 7

A. Department chair 7
B. Other Administrators 9
1. *Administrative vice-chair* *9*
2. *Vice-chair for undergraduate studies* *9*
3. *Director of undergraduate instruction* *9*
4. *Vice-chair for graduate studies* *10*
5. *Coordinators in the Undergraduate Program* *10*
C. Department Committees 10
1. *Executive Committee* *10*
2. *The Advisory Committee (AC)* *11*
3. *Awards Committee* *12*
4. *Promotion and Tenure Committees (CENT and PROCOMP)* *12*
5. *Colloquium Committee* *12*
6. *Communications Committee* *12*
7. *The Departmental Climate Committee (DCC)* *12*
8. *Election Committee* *13*
9. *Graduate Studies Committee* *13*
10. *Instructional Improvement and Evaluation Committee (IIEC)* *14*
11. *Math Advisory Board Committee* *14*
12. *Math Research Institute Board* *14*
13. *Salary Committee* *15*
14. *Undergraduate Advising Committee* *16*
15. *The Undergraduate Committee* *16*
16. *Undergraduate Recruitment Committee* *17*

VIII. FACULTY MEETINGS 17

IX. DISTRIBUTION OF FACULTY DUTIES, RESPONSIBILITIES, AND WORKLOAD 17

A. Tenure-track faculty 18
1. *Special assignments (SAs)* *20*

B. Teaching faculty 21
C. Associated faculty....21
D. Modification of duties....21

X. COURSE OFFERINGS, TEACHING SCHEDULE, AND GRADE ASSIGNMENTS....22

XI. ALLOCATION OF DEPARTMENT RESOURCES....22

XII. LEAVES AND ABSENCES....23

A. Discretionary Absence....23
B. Absence for Medical Reasons....23
C. Unpaid Leaves of Absence....23
D. Faculty Professional Leave....23
E. Parental Leave....24

XIII. ADDITIONAL COMPENSATION AND OUTSIDE ACTIVITIES....24

XIV. FINANCIAL CONFLICTS OF INTEREST....25

XV. GRIEVANCE PROCEDURES....25

A. Salary Grievances....25
B. Faculty Promotion and Tenure Appeals....25
C. Faculty and Staff Misconduct....26
D. Harassment, Discrimination, and Sexual Misconduct....26
E. Violations of Laws, Rules, Regulations, or Policies....26
F. Complaints by and about Students....26
G. Academic Misconduct....27

I. INTRODUCTION

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

This Pattern of Administration must be reviewed and either revised or reaffirmed on appointment or reappointment of the department chair. In keeping with Faculty Rule 3335-3-35(C)(2), within the first year of their appointment or reappointment, the department chair shall review the Pattern of Administration in consultation with the faculty. Any revisions shall be made available via email to the faculty for a period of two weeks to provide feedback. At other times, revisions may be proposed by the department chair or recommended to the chair by unit committees or members of the faculty. The process for revision is the same as above. All revisions, as well as periodic reaffirmation, are subject to approval by the college office and the Office of Academic Affairs.

II. DEPARTMENT MISSION

The mission of the Department of Mathematics is to produce research in mathematics at the level of the best universities worldwide, to provide a comprehensive and challenging program for undergraduate majors and graduate students planning careers in mathematics or related fields, and to offer high quality mathematics courses to serve the rest of the university community.

The department embraces and seeks to implement the university's shared values initiative. We are committed to academic freedom, to ensuring responsible research practices, to building a welcoming culture for all, to fostering an ethic of care and mutual respect, and to promoting justice.

III. ACADEMIC RIGHTS AND RESPONSIBILITIES

In April 2006, the university issued a reaffirmation of academic rights, responsibilities, and processes for addressing concerns.

IV. FACULTY AND VOTING RIGHTS

Faculty Rule 3335-5-19 defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment. For purposes of governance, the faculty of this department includes tenure-track faculty, teaching faculty, and associated faculty.

The Department of Mathematics makes tenure-track appointments with titles of assistant professor, associate professor, or professor. Tenure-track faculty may vote in all matters of departmental governance.

The Department of Mathematics makes teaching appointments. Teaching faculty titles are assistant teaching professor, associate teaching professor, and teaching professor. Teaching faculty (see APT, IV.A.2) may vote on issues related to the undergraduate teaching mission of the department, including appointment, reappointment, and promotion reviews of other teaching faculty.

Teaching Faculty Appointment Cap

The total number of teaching faculty is capped at 15% of the number of tenure-track faculty in the department. Moreover, the number of teaching faculty in the college is capped at 20% of the combined total number of tenure-track, clinical, teaching, professional practice, and research faculty at the Columbus campus and regional campuses. No new teaching faculty appointments can be made in excess of these percentages. Because reappointments of teaching faculty are not considered new appointments, the number of teaching faculty could temporarily exceed the cap (for instance, in the case of a large number of retirements of tenure-track faculty). In this case, no new teaching faculty appointments can be made until the percentage falls back under the cap, either through the departure of teaching faculty, or through an increase in the tenure-track faculty.

The Department of Mathematics makes associated faculty appointments (see APT, IV.A.3). Associated faculty titles include tenure-track faculty on less than a 50% appointment, adjunct titles, lecturer titles, and visiting titles. Associated faculty may not vote in any matter of departmental governance.

Emeritus faculty in this department are invited to participate in discussions on nonpersonnel matters, but may not participate in personnel matters, including appointment, promotion and tenure reviews, and may not vote on any matter.

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

V. ORGANIZATION OF DEPARTMENT SERVICES AND STAFF

A. Assistants to the Chair and Assistants to the Vice-Chairs

One staff member provides administrative support to the department chair, serving as liaison between the chair and faculty, staff, students, other University offices, and the public; assisting with faculty searches and the annual promotion and tenure process as well as the annual evaluation processes; and assisting with visa processing. This staff member schedules meetings and appointments; records minutes of faculty and Advisory Committee meetings; develops and maintains filing systems for the chair's office, including maintenance of faculty personnel files, annual promotion and tenure dossiers, and applicant files for faculty searches; and serves as primary contact with the Office of International Student/Scholar Services.

This same staff member also serves as initial reception point for the chair's suite (both telephone and in person); keeps the chair's daily calendar and schedules meetings and appointments; provides primary support for faculty recruiting activities; provides additional (as needed) processing and administrative support for the three vice-chairs (undergraduate studies, graduate studies, and administration); and coordinates visitor room assignments and keys.

A second staff member assists the Vice Chair for Undergraduate Studies and the Director for Undergraduate Instruction. This staff member coordinates workshop arrangements; facilitates data collection and processing; maintains databases; coordinates night exams, including room assignments; interfaces with Departmental Scheduling/Statistical Analysis Office; assists in organizing and coordinating outreach activities; oversees front desk operations; and assists with the department summer REU program.

These assistants' duties and responsibilities vary with circumstances. In addition to their primary duties these staff members have secondary duties: backing up the duties of the other assistants to the Chair and vice chairs, and providing administrative support to the Chair and vice chairs as needed.

A third staff member is the Director for Undergraduate Instruction, who is responsible for all lower division and outreach courses. Specifically, this staff member is responsible for the supervision, coordination, and oversight of all department courses numbered 1151 or below; serves as ombudsperson for these courses; and serves as the department's liaison with the MSLC (Mathematics and Statistics Learning Center). This staff member also works closely with the vice-chair for undergraduate studies to make undergraduate teaching assignments for the faculty.

B. Fiscal Office

The Financial Officer manages and coordinates departmental fiscal operations, including managing the fiscal staff and overseeing departmental personnel functions. The Financial Officer reports to the vice chair for administration. This Fiscal Office also provides the chair and vice chairs with fiscal projections, budget plans, and reports; produces statistical analyses of departmental spending patterns; initiates and develops administrative policies and procedures; and helps determine priorities regarding fiscal matters. Further, it advises the chair on university HR policies.

C. Mathematics Research Institute Office

This office provides administrative support to the Mathematics Research Institute (MRI); manages the MRI budget account and processes all financial transactions for MRI in coordination with the Fiscal Office; manages conference participant databases and arranges housing/travel for participants.

D. Undergraduate Math Advising Office

This office advises students on a variety of issues, including math placement and course options, math courses/sequences for various programs, math study skills, and long-range goals. It also assists the department administration and various university offices in providing information concerning math related issues. The office develops and maintains the Math Advising Office web pages, which include updated information on courses and syllabi, honors opportunities, information about placement tests, GEC requirements, and related data. It assists faculty advisors with math majors, prepares literature for orientation of new students, writes and grades math proficiency exams, helps the Undergraduate Admissions Office with recruitment and with evaluation of transfer credit, and oversees processes needed to get University approval of curricular changes. The office is staffed by the Manager of Mathematics Advising and four Mathematics Advisors.

E. Course Office

The Course Office keeps course records, assists students with math-related course registration concerns, and distributes course-related materials to instructors. The Course Office, staffed by the Course Office Coordinator, acts as the department's liaison with the Office of Disability Services.

F. Office of Instructional Support

This office is responsible for non-faculty staffing of mathematics courses, and the management of the non-PhD instructors, including the annual hiring and training of new instructors. This office schedules

teaching assignments of non-PhD staff, provides instructional support throughout the year, provides information on TA issues to various department and university entities, helps resolve conflicts involving TAs, and serves as liaison with various university programs. The office is staffed by the Director of Undergraduate Instruction.

G. Office of Enrollment Management

This office provides information and projections on student enrollments, placements and performances in math courses for department administration and faculty. It projects, monitors, and manages student enrollments in all mathematics classes; creates and oversees the department's Master Schedule of Classes; collects and maintains data on student placements, performances, and enrollments; provides information student enrollments and performances; monitors and reports on math placement exam results. The office is staffed by Program Associate.

H. Technology Support Office

This office oversees and manages technology needs of the department, including recommending and overseeing the purchase of equipment and software, and the active maintenance of the departmental computer environment e.g. backup of data, software upgrades, security, and virus protection.

I. Graduate Office

The Graduate Office supports the administration of the department's graduate program. It provides support for the Graduate Studies, Graduate Recruitment, and Graduate Advising Committees; assists the vice chair for graduate studies and the Office of Instructional Support; creates and maintains records of the department's graduate recruitment, admissions, and retention; acts as a liaison between math graduate students and various departmental and university offices; and provides support for graduate student recruitment and admission activities.

VI. OVERVIEW OF DEPARTMENT DECISION-MAKING

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

VII. DEPARTMENT ADMINISTRATION

A. Department chair

There will be a department chair who, under the rules of the university faculty of The Ohio State University, as set forth in Rule 3335-3-35, is the administrative head of the department. That rule, along with Faculty Rule 3335-6, also requires the department chair to prepare, in consultation with the faculty, a Pattern of Administration with specified minimum content and a document setting forth policies and procedures pertinent to appointments, reappointments, promotion and tenure.

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

- To uphold expectations of the Leadership Philosophy:
    - Uphold Ohio State's Shared Values and engender trust through words and actions.
    - Care for people and create conditions for well-being and productivity.
    - Set clear direction and goals for their teams and align to the mission of the department.
    - Solve problems and support their teams to adapt to changing contexts.
    - Drive cross-functional collaborations to advance goals of the department.
    - Demonstrate commitment to continuous growth for themselves and their teams.

- To have general administrative responsibility for departmental programs, subject to the approval of the dean of the college, and to conduct the business of the department efficiently. This broad responsibility includes the acquisition and management of funds and the hiring and supervision of faculty and staff.
- To plan with the members of the faculty and the dean of the college a progressive program; to encourage research and educational investigations.
- To assign workload according to the department's workload guidelines (see Section IX) and faculty appointment type (and rank).
- To evaluate and improve instructional and administrative processes on an ongoing basis; to promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.
- To evaluate faculty members annually in accordance with university, college, and department-established criteria; to inform faculty members when they receive their annual performance and merit review of their right to review their primary personnel file maintained by the department and to place in that file a response to any evaluation, comment, or other material contained in the file.
- After consultation with the eligible faculty, to make recommendations to the dean of the college regarding appointments, reappointments, promotions, dismissals, and matters affecting the tenure of members of the department's faculty, in accordance with procedures set forth in Faculty Rules 3335-6 and 3335-7 and this department's Appointments, Promotion and Tenure Document.
- To see that all faculty members, regardless of their assigned location, are offered the privileges and responsibilities appropriate to their appointment type and rank; and in general to lead in maintaining a high level of morale.
- To maintain a curriculum vitae for all personnel teaching a course in the department's curriculum.
- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.
- To prepare, after consultation with the faculty, annual budget recommendations for the consideration of the dean of the college.
- To facilitate and participate in prescribed academic program review processes, in collaboration with the dean of the college and the Office of Academic Affairs.

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

Operational efficiency requires that the department chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of the department's academic goals, however, are most successful when all faculty members participate in discussing and deciding matters of importance. The department chair will therefore consult with the faculty on all educational and academic policy issues. Consultation will often take place in the Advisory Committee as a body representing the faculty, but either the chair, a majority of the Advisory Committee, or a request by ten (10) members of the tenure-track faculty may cause an issue to be put to a vote. If an issue is put directly to the faculty, it will be decided by a majority of those who cast ballots on the issue. The vote will be conducted by the Election Committee. Whenever the chair finds it necessary to act contrary to the advice of the Advisory Committee or the faculty, the chair will present a statement of reasons for the departure. Where possible, this statement of reasons will be provided before the departure occurs.

B. Other Administrators

Vice Chairs are tenure-track faculty. The Director of Undergraduate Instruction and Coordinators in the Undergraduate Program may be either tenure-track or teaching faculty.

1. Administrative vice-chair

The administrative vice chair is responsible for budgetary and personnel matters and will help coordinate the activities of the promotion and tenure committees (CENT and PROCOMP) and the Instructional Improvement and Evaluation Committee. The administrative vice-chair is responsible for the hiring, evaluation, and oversight of the departmental staff, and the appointment, in consultation with the staff, of a staff ombudsperson to deal with staff grievances. The administrative vice-chair serves as departmental liaison with the fiscal and human resources officers of the College of Arts and Sciences. In consultation with the executive committee, the administrative vice-chair is responsible for recommending department committee assignments to the department chair. The administrative vice-chair also serves as liaison with the deans of the regional campuses on matters of salary and promotion of regional faculty. The administrative vice chair is appointed by the department chair annually.

2. Vice-chair for undergraduate studies

The vice chair for undergraduate studies is responsible for the supervision, coordination, and oversight of all undergraduate courses numbered 1152 or above. The vice chair for undergraduate studies also serves as ombudsperson for these courses. The vice chair for undergraduate studies serves as liaison with other colleges and departments concerning instructional issues and oversees the summer freshman orientation activities.

The vice chair for undergraduate studies is a voting member of the executive committee and is a non-voting ex-officio member on all department committees concerned with undergraduate education. The vice chair for undergraduate studies is appointed by the department chair annually.

3. Director of undergraduate instruction

The director of undergraduate instruction is responsible for the supervision, coordination, oversight of all department courses numbered 1151 or below. The director of undergraduate studies also serves as ombudsperson for these courses. The director of undergraduate studies is the department's liaison with the Mathematics and Statistics Learning Center (see V.K).

The director of undergraduate instruction and the vice-chair for undergraduate studies jointly make undergraduate teaching assignments for the faculty and teaching staff. They also coordinate with the vice-chair for graduate studies in assigning graduate teaching assignments.

The director for undergraduate instruction is a voting member of the executive committee and is a non-voting ex-officio member on all department committees concerned with undergraduate education. The director of undergraduate education is appointed by the department chair to serve a four-year term.

4. Vice-chair for graduate studies

The vice chair for graduate studies is responsible for all graduate studies issues. The vice-chair for graduate studies oversees and coordinates the activities of graduate recruitment and advising**.** The vice-chair for graduate studies serves as departmental contact with the Graduate School and the College on graduate matters, including university fellowships and awards. The vice chair for graduate studies has oversight of the summer head start program.

The vice chair for graduate studies is a voting member of the executive committee and is a non-voting ex-officio member on all department committees concerned with graduate education. The vice-chair for graduate studies is appointed by the department chair annually.

5. Coordinators in the Undergraduate Program

Coordinators are usually appointed for each Math Major track, for Math Teacher Education, and for Calculus. The major track coordinators oversee their tracks. The Math Teacher Education coordinator oversees the undergraduate curriculum for the preparation of P-12 teachers. The Calculus coordinator oversees the calculus program. The coordinators will be assigned by the department chair in consultation with the Executive Committee and will be tenure-track faculty members. The Director of Actuarial Science oversees the Department's Actuarial Science Program, and supervises the advising of undergraduate actuarial science majors. The coordinators are appointed by the department chair annually.

C. Department Committees

Much of the development and implementation of the department's policies and programs is carried out by standing and ad hoc committees. The smaller committees (3 or fewer members) listed below conduct their work without a chairperson. Unless otherwise noted below, all committee members and committee chairs, unless otherwise specified below, are appointed annually by the department chair to a one-year term.

1. Executive Committee

The Executive Committee consists of the department chair, the administrative vice-chair, the vice-chair for undergraduate studies, the director of undergraduate instruction, the vice-chair for graduate studies, and two members of the tenure-track faculty appointed by the department chair for one semester each. The chair of the Advisory Committee is an ex-officio nonvoting member. The executive committee is the only department committee on which the chair and vice-chairs have voting privileges.

The executive committee meets as needed and is chaired by the administrative vice-chair. The role of the committee is to advise the department chair on operational issues. It makes recommendations to the department chair and administrative vice-chair regarding the salaries of departmental staff. It makes recommendations to the chair on the teaching load distribution for faculty members in the department (see X.B). It also advises the administrative vice-chair on department committee assignments.

Important issues dealt with by the Executive Committee will also be brought either to the Advisory Committee or to a faculty (or staff) meeting for consideration**.**

2. The Advisory Committee (AC)

The advisory committee consists of twelve (12) tenure-track faculty members. Each spring semester four (4) members will be elected to two-year terms, two (2) members will be elected to one-year terms and two (2) members will be appointed by the department chair for one year. Tenure-track faculty vote to elect members of the AC. A faculty member currently serving on the advisory committee cannot be a candidate in the advisory committee election, nor can they be re-appointed to the advisory committee by the department chair.

New members begin their term in the autumn semester. In the event that an elected member of the advisory committee cannot finish serving their term, the advisory committee will recommend to the department chair a suitable replacement. The department chair will be an ex-officio, nonvoting member and may appoint additional ex-officio, nonvoting members to the committee. The Advisory Committee will elect its own chair. Meetings of the Advisory Committee and their agendas will be announced to the tenure-track faculty in advance. Meetings will be open to all members of the tenure-track faculty, except in special cases involving personnel matters. Staff members, teaching faculty members, and associated faculty may be invited to meetings, when appropriate. Seven advisory committee members are needed for a quorum. Minutes of all meetings will be made available to the faculty.

The following are the duties of the AC:

1. To advise the department chair on matters of long-range planning and any other matters that members of the Department bring before it.
2. To provide recommendations to the Chair of members of Recruitment Committees, which should be in place for the faculty hiring season. The number of committees, as well as the number of faculty on each committee, should be commensurate with faculty recruitment responsibilities for that year. The duties and procedures of the recruitment committees are described in APT, IV.B.1.
3. To provide recommendations on the formation of the Visiting Assistant Professor (VAP) Hiring Committee. The VAP hiring committee is tasked with producing a proposed short list of candidates for the Zassenhaus and Ross Assistant Professor positions. This is done by soliciting nominations from the tenure-track faculty and ranking the proposed candidates.
4. Upon request, it advises the department chair on appointments to other standing committees. It may appoint ad hoc committees, including committees to consider grievances.
5. Upon request the Advisory Committee advises the department chair on the approval of FPLs (Faculty Professional Leaves), SAs (Special Assignments), and unpaid leaves.
6. The Advisory Committee, in agreement with the Chair, may suggest amendments to the POA or APT documents with a vote of the Advisory Committee. Any such agenda item will be announced to the faculty at least three (3) working days in advance. Nine (9) votes in favor of a proposed amendment are required for the amendment to be recommended to the chair. The amendment will be recommended to the department chair five (5) working days after being announced to the Department unless, during those five working days, ten (10) tenure-track faculty members request that the issue be put to a vote of the tenure-track faculty. In that case a simple majority of the votes cast will be necessary for the amendment to be recommended to the Chair. Any substantive change to the POA or APT documents must be made in consultation with the

faculty. However, the department chair retains ultimate responsibility and authority for revisions to the POA and APT documents and their submission to the College of Arts and Sciences and the Office of Academic Affairs for approval. The amendment will go in effect after approval from the college and OAA.

3. Awards Committee

The awards committee consists of three (3) tenure-track faculty members, appointed annually by the department chair, in consultation with the administrative vice-chair and the executive committee. They are charged with identifying suitable faculty and staff candidates for college, university, state, and national award. They assist in the preparation of the documents for any nomination to an award.

4. Promotion and Tenure Committees (CENT and PROCOMP)

The department has two promotion and tenure committees: the Committee for the Evaluation of Non-Tenured Faculty (CENT; this committee oversees the promotion of tenure-track assistant professors to tenured associate professor, as well as the reappointment reviews and promotion of all teaching faculty), and the Committee for Promotion to Professor (PROCOMP; this committee oversees the promotion of tenured associate professors to tenured professor). The formation and duties of these committees are described in our Appointment Promotion and Tenure document (see APT III.B, VI.B.1.b). These committees will be formed annually by January 31st of each year.

5. Colloquium Committee

The Colloquium Committee has three (3) members who are members of the tenure-track faculty, and one nonvoting representative from the graduate students. It is appointed annually by the department chair in consultation with the administrative vice-chair and the executive committee. It is responsible for selecting, in consultation with the faculty, speakers for the Mathematics Department Colloquium, for inviting these speakers, and for scheduling the colloquium lectures. The committee chair should consult with the department chair before the start of the year to determine the available budget. The colloquium committee will be appointed before the end of the Spring semester.

6. Communications Committee

The Communications Committee has at least ten (10) members, who are appointed annually from across the department community (both faculty and staff are eligible to serve). Its chair and its members are appointed by the department chair in consultation with the administrative vice chair and the executive committee. The main task of the committee is to produce a departmental newsletter, usually two issues per year, and to update the news section on the department website. The committee also coordinates with department administration, ASC Communications, and math Webmaster on various related projects.

7. The Departmental Climate Committee (DCC)

DCC has the goals of promoting and supporting a collegial, respectful, and inclusive working environment for all members of the Mathematics department. The committee makes recommendations to the Chair of department towards these goals, and liaises with other committees as appropriate. The DCC should be composed of tenure-track faculty members (at most 5), and an undergraduate student representative, a graduate student representative, a postdoc representative, teaching and associated faculty, and a staff representative. All members of this committee have voting privileges. The DCC members and its chair are appointed annually by the department chair in consultation with the administrative vice chair and the executive committee.

8. Election Committee

The Election Committee has two (2) members and an alternate. Members are appointed annually by the department chair in consultation with the administrative vice-chair and the executive committee. The duties of the Election Committee are to solicit nominations to elected committees, determine the eligibility and willingness of each nominee to serve, conduct secret ballot elections for vacancies on elected committees, and announce the results of each election to the Department. The committee supervises balloting on other issues as requested by the Chair. This committee establishes a schedule for the timely election of the members of elected committees (AC, CENT, PROCOMP), and conducts these elections annually according to schedule, without prompting from the department chair or vice chairs.

Among the members of the Elections Committee and the alternate, there should be at least two tenured professors.

For any vote of the eligible faculty on personnel matters (appointments, reappointments, and promotions):

- Online voting is organized by the Election Committee with cooperation from a member of the Computer Support Staff (if needed). Only those members of the eligible faculty who are present in the meeting for the full discussion and deliberation on the candidates are permitted to vote. Votes must be cast before the conclusion of the meeting.
- Voting procedures (what constitutes a quorum etc.) are detailed in the Appointments, Promotion, and Tenure document in accordance with OAA mandates.

For any vote of the tenure-track faculty to elect members of major committees (Advisory Committee, CENT, PROCOMP, etc.), or any vote on nonpersonnel matters for which the chair deems that sufficient reasons exist for modifications:

- The Election Committee organizes Departmental voting.
- Three (3) working days should be allowed for the casting of ballots.
- All voting is done online and information relevant to the vote will then be posted in a secure password-protected website.

While standing committees or ad-hoc committees may run their own online voting systems, they have the option of soliciting assistance from the election committee in handling votes.

9. Graduate Studies Committee

The Graduate Studies Committee consists of at least nine (9) voting members. The members and the chair are appointed annually to a one-year term by the department chair, in consultation with the administrative vice chair and the executive committee. Seven (7) are members of the tenure-track faculty with Category P status; two (2) members are graduate students in the Department, who are appointed each year by the vice chair for graduate studies. Other members may be appointed ex-officio as nonvoting members. Prior to each meeting, the chair of the graduate studies committee will make the meeting's agenda available to members of the graduate faculty and to graduate students in the Department. Meetings will be open except when personal matters concerning students are discussed.

The GSC oversees and regularly reviews the graduate program in order to guarantee its effectiveness and vitality. The committee's responsibilities include all responsibilities outlined in Section 2-4 of the Graduate School Handbook. The committee oversees the maintenance of the catalogue and graduate

student records, oversees the counseling of graduate students, and provides recommendations for assistantships and fellowships, as these pertain to the graduate courses and programs of the Department. The committee may appoint ad hoc subcommittees to prepare and grade the Algebra and Analysis Qualifying Examinations. The GSC and the Undergraduate Committee will work together on matters pertaining to courses open to both undergraduate and graduate students.

10. Instructional Improvement and Evaluation Committee (IIEC)

The department has three IIEC committees: IIEC-VAP, IIEC-CENT, and IIEC-PROCOMP, with membership commensurate to the task (evaluating the teaching of, respectively, associated faculty, tenure-track Assistant Professors and teaching faculty, and tenure-track associate professors and professors). They are appointed annually by the department chair, in consultation with the administrative vice-chair and the executive committee. IIEC-VAP can consist of tenure-track faculty and teaching faculty. IIEC-CENT consists of tenured faculty, while IIEC-PROCOMP consists of tenured faculty holding the rank of Professor.

The chair of IIEC-VAP will arrange to have the teaching of each associated faculty member evaluated at least once per year. The chair of IIEC-CENT will arrange to have each probationary tenure-track faculty member and each teaching faculty member evaluated at least once per year. The chair of IIEC-PROCOMP will arrange to have each tenured associate professor evaluated at least once every other year and to have each tenured professor evaluated at least once every four years.

Details on peer evaluation of teaching can be found in the APT, IX.B.

11. Math Advisory Board Committee

The members of this committee are responsible for preparing the bi-annual meeting of the Math Advisory Board. This includes preparing the agenda, arranging speakers, and coordinating the visit logistics with our staff. The size of the committee is commensurate to the anticipated agenda. Members are appointed annually by the department chair, in consultation with the administrative vice-chair and the executive committee and the committee is chaired by the chair of the Math Advisory Board.

12. Math Research Institute Board

The Mathematics Research Institute (MRI) was established within the Mathematics Department at The Ohio State University in 1990 in response to the increasing importance of collaborative work in mathematical research worldwide. The original funding of the MRI was provided by a continuing grant from the Academic Challenge Program supplied by the Ohio Board of Regents. The goal of the MRI is to enhance research, scholarship and education programs of the Mathematics Department.

<u>MRI programs</u>

1. Distinguished Visitors Program. The MRI Board will select each year a group of distinguished visitors to be invited to the department for periods ranging from two weeks to one semester. The activities of these visitors will be arranged to include graduate student component such as a mini-course, workshop, or a talk.
2. Departmental Seminars Program. This consists of support for departmental seminars with funds to bring off-campus speakers to the department.
3. Rado and Zassenhaus lectures in which distinguished mathematicians are invited to give several <u>lectures.</u>

MRI Management

The MRI Board consists of six members of the tenure-track faculty appointed by the department chair. The chair will designate a seventh member of the tenure-track faculty as the Director of the MRI. The Director of the MRI is appointed for a three-year term and the other members of the Board are appointed by the Chair for a two-year term.

The Director of the MRI is responsible for informing the faculty of the opportunities available by the MRI and the decisions made by the Board in a timely fashion. The MRI Director will submit an annual report to the faculty.

Duties of the MRI Board and the Director of the MRI

1. The MRI Board decides on allocation of funds.
2. The MRI Board makes major decisions involving its scientific programs, e.g. which specific research areas will be supported in a certain emphasis year or which distinguished visitors will be invited.
3. The Director of the MRI is responsible for day-to-day management of MRI activities and makes operational decisions consistent with the goals set by the MRI Board.
4. The Director of the MRI reports on MRI activities to the MRI Board and to the Faculty.

13. Salary Committee

The Committee is formed each year in Spring Semester. It consists of eight (8) tenured Math faculty members of whom three (3) are recommended to the chair by the Advisory Committee from the Columbus Math tenure-track faculty or from its membership, three (3) are elected by the Math tenure-track faculty of the Columbus Campus, and two directly appointed by the Chair from the Math tenure-track faculty of the Columbus campus. The Salary Committee elects its own chair.

The main charge of the salary committee is to perform a peer evaluation of the performance of all tenure-track faculty in the department. This evaluation is based on the annual activity report, CV, and SEIs turned in by each faculty member. The salary committee does not review the files of the members of the salary committee – these are evaluated separately by the department chair.

The faculty files are divided into four groups: (i) professors in the top quartile of salaries, (ii) the rest of the professors (iii) associate professors, (iv) assistant professors. Faculty members in each group are evaluated collectively and serve as the comparison pool when the salary committee assigns scores. This reflects the fact that expectations increase as a faculty member rises in rank.

Proceeding one group at a time, committee members present the files assigned to them from that group. Each salary committee member then assigns the file a score of 1-9 in each of three categories: research, teaching, and service. Scores of 1-3 mean the performance is below expectations, 4-6 meets expectations, and 7-9 exceeds expectations. This results in each faculty member having an aggregate score of 8-72 in each of the three categories: research, teaching, and service.

The department adheres to the College of Arts and Sciences' requirements to: (a) recognize the importance of qualitative rather than merely quantitative contributions in each area of faculty activity and (b) guard against rigid formulas or weightings of research, teaching, and service that might limit

recognition of extraordinary one-time commitments in one or more areas, of variations in workload, or of shifts in responsibilities at different stages of professional development.

The department chair considers a weighted average of these scores as one factor in recommending merit-based raises to the dean. Part V of the APT document provides some further discussion of the salary raise process.

14. Undergraduate Advising Committee

The members of this committee advise Math Majors who are not in the Math Honors track. This committee is appointed annually by the department chair, in consultation with the administrative vice-chair and the Executive Committee and consists of a group of faculty members selected from the tenure-track and teaching faculty. The size of the committee is commensurate to the number of Math Majors students. Each member of this committee will be assigned a number of Math Majors as advisees in the Autumn semester. There is no committee chair.

Members of this committee may be asked to be present at the following events:

1. Training session for advisors (about one hour)
2. An event in the Fall welcoming Math undergraduates

Activities may be organized that will bring together Math undergraduates and tenure track faculty, in particular the members of the undergraduate advising committee.

15. The Undergraduate Committee

The Undergraduate Committee (UGC) oversees undergraduate education in mathematics. The UGC has representatives with expertise in each math major track (Honors, Theoretical Math, Financial Math, Applied Math, Math Biology, and Math Education), including 4 or 5 tenure-track and teaching faculty representatives. It will include a representative of Math Teacher Education, a Representative of the Actuarial Science Program (usually the Director of Actuarial Science), and a Representative from the Advising Office. All of the members listed above will be voting members of the committee. The members are appointed annually to a one-year term by the department chair, in consultation with the administrative vice chair and the executive committee.

The Department Vice Chair for Undergraduate Study and the Director for Undergraduate Instruction serve as ex-officio, nonvoting members of UGC. The Math Advisors serve as ex-officio members of UGC, with one having voting privileges in UGC.

The Committee can form Subcommittees as needed. Potential subcommittees include Service Instruction, Undergraduate Research, and Undergraduate (non-honors) awards.

The Undergraduate Committee advises the Director for Undergraduate Instruction and the Vice Chair for Undergraduate Study on issues involving the Department's undergraduate program. The Committee's responsibilities include recommendations for revision of courses and of major programs; coordination of courses; undergraduate research in mathematics; approval of new undergraduate courses, certificates, minors and majors; policies concerning undergraduate instruction in the department; overseeing undergraduate research; and overseeing the advising of undergraduate students.

The UGC and the Graduate Studies Committee will work together on matters pertaining to courses open to graduate and undergraduate students. The UGC and the Honors Committee will work together on matters pertaining to courses open to honors and non-honors undergraduate students.

16. Undergraduate Recruitment Committee

Members of this committee may be required to attend a training session led by one of the vice-chairs and the counselors. They will be required to attend a handful of recruitment events during the academic year. Members are appointed annually by the department chair, in consultation with the administrative vice-chair and the executive committee. Members, up to 8, are selected annually from either the tenure-track faculty, the teaching faculty, or the staff. The committee is chaired by the vice chair for undergraduate studies.

VIII. FACULTY MEETINGS

The department chair will provide to the tenure-track faculty a schedule of department faculty meetings at the beginning of each term and will normally provide for monthly meetings. The 12:40pm-1:35pm time slot on Tuesdays and Thursdays is designated for Faculty meetings. An attempt will be made to avoid scheduling tenure-track faculty teaching assignments at this hour. Additional faculty meetings to discuss issues of importance to the department may be called on the initiative of the chair, of the Advisory Committee, or upon a petition by ten (10) or more members of the tenure-track faculty. An agenda will be delivered to the tenure-track faculty before each scheduled meeting. Reasonable efforts will be made to distribute the agenda at least three working days before the meeting. The department chair will distribute minutes of faculty meetings to faculty by e-mail—within seven days of the meeting if possible. These minutes may be amended at the next faculty meeting by a simple majority vote of the faculty who were present at the meeting covered by the minutes.

Any departmental issue brought up by a member of the Math faculty to the chair will be given, upon request, some time (5-10 minutes) in the agenda of a faculty meeting aiming for a clear, concise, and systematic presentation emphasizing implementable solutions.

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

For purposes of discussing departmental business other than personnel matters, the number of tenure-track faculty required to make up a quorum at a faculty meeting is at least one third of the number of members of the Math tenure-track faculty. Participation via video-conferencing is allowed and will be counted towards the quorum.

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 department chair will necessarily make the final decision.

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

IX. DISTRIBUTION OF FACULTY DUTIES, RESPONSIBILITIES, AND WORKLOAD

In general, faculty duties and responsibilities should be discharged in accord with the American Association of University Professors' Statement on Professional Ethics. Faculty roles and responsibilities are described in the initial letter of offer. Workload 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.

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

Telework exception: Faculty members with responsibilities requiring in-person interaction are to work at a university worksite to perform those responsibilities. Telework and the use of remote, virtual meetings are allowed at the discretion of the 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.

The guidelines outlined here do not constitute a contractual obligation. This document describes only expected average levels of activity in the various areas. Fluctuations in demand, resources in the department, and the individual circumstances of faculty members may warrant temporary deviations from the guidelines. The guidelines in this section apply to Columbus campus faculty members. Regional campuses define the distribution of duties, responsibilities and workload for faculty at those campuses in their own Patterns of Administration.

A full-time faculty member's primary professional commitment is to Ohio State University and the guidelines below are based on that commitment. Faculty who have professional commitments outside of Ohio State during on-duty periods (including teaching at another institution; conducting research for an entity outside of Ohio State; external consulting) must disclose and discuss these with the chair in order to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the university's Policy on Outside Activities and Conflicts. In crisis situations, such as life-threatening disease (COVID, for example) or physical dangers (natural disasters, for example), faculty duties 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 and promotion and reappointment reviews.

It is to the benefit of both the department and the individual faculty member that the diversity of interests and talents among faculty members be recognized and accommodated. Therefore, the department chair, in consultation with the faculty member and the divisional dean, may approve departures from the typical workload distribution. A faculty member who makes extraordinary contributions in one or more areas may be permitted to have compensatory below average activity in other areas. It is the department chair's responsibility to assure that duties and responsibilities are equitably distributed among the faculty.

A. Tenure-track faculty

Tenure-track faculty members are expected to contribute to the university's tripartite mission of 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. Tenure-track faculty members with joint appointments will have <100% FTE in the department. These faculty members will have correspondingly reduced expectations based on their percentage FTE.

Teaching

The standard teaching load for tenure-track faculty with a 100% appointment in Math during the academic year is 40-50% time allocation to total workload according to the university workload guideline. Faculty members are also expected to advise undergraduate and graduate students and supervise thesis and dissertation work.

The department chair, in consultation with the executive committee and the divisional dean, is responsible for making teaching assignments on an annual basis and may decline to approve requests for adjustments when approval of such requests is not judged to be in the best interests of the department and the college. All tenure-track faculty members must contribute to the mission of education (formal and/or informal instruction, student advising) over the course of the academic year and no tenure-track faculty member may teach fewer than one formal course per year unless on a full-year FPL, an approved unpaid or medical leave, or otherwise following approval of the divisional dean. Among the factors that the department chair and executive committee may use in considering eligibility for a lower teaching load are

- substantial service activity, either in the department or in the college or university;
- substantial instructional activity, for instance serving as a PhD advisor to three or more graduate students;

High level of research activity is not, in and of itself, justification for a lower teaching load, but could be a basis for requesting a Special Assignment (see below). Conversely, a higher teaching load may be appropriate for a faculty member when research or service activity, or involvement with the undergraduate or graduate program, are substantially lower than their colleagues. The workload profile of such a faculty member will be determined through discussions with the chair and the faculty member, in consultation with the divisional dean. Except when an FPL, SA, or MOU specifies otherwise, tenure-track faculty of all ranks may not be assigned a research workload allocation below 20%. Furthermore, university guidelines specify that "increases in teaching effort should not serve as a long-term response to lack of performance in other areas."

Serving as a thesis advisor to PhD students and undergraduate honors students is an integral part of our instructional mission. Tenure-track faculty may advise theses at all levels. For associate professors and professors who are more than two years from their last promotion, some substantial involvement with the graduate or undergraduate program is expected. Examples of such substantial involvement include: being a PhD advisor for a graduate student, or advising several master's theses, or several undergraduate honors theses. Faculty members who have other activities which they believe indicate substantial involvement in our graduate or undergraduate program can indicate this in the comments at the end of their annual activity report.

Curriculum development, writing of textbooks and teaching materials and other pedagogical works are part of instructional activities. In some instances, these activities belong to the category of scholarly activity as well.

Research and scholarly activity

Each tenure-track faculty member is expected to maintain an active program of research and scholarly activities and to make significant contributions in these areas, as defined in the department's Appointments, Promotions, and Tenure Document. Research is the creation of new knowledge; research and teaching are interrelated. Scholarly activity includes publishing research in refereed journals and in conference proceedings, giving seminars, lectures, and workshops; applying and securing external research grants; interdisciplinary activity between different areas of mathematics or between mathematics

and other fields such as the arts, sciences, and professions; participation in conferences and consultation with colleagues at other universities, institutes, and national research laboratories; and collaborative research with students, postdoctoral fellows, visitors, and other researchers. It also includes such activities as writing research monographs, expository articles and popular articles on mathematics, and scholarly contributions to curriculum development. When appropriate to their field of inquiry, faculty members are also encouraged to seek appropriate opportunities to obtain patents and engage in commercial activities stemming from their research. The standard scholarship workload expectation for full-time tenure-track faculty members is 40-50% time allocation to total workload according to the university workload guideline.

Service activity

The department depends on its faculty for the administration of its various activities. It is expected that each faculty member of the department will conscientiously perform their share of administrative responsibilities. The standard service workload expectation for full-time tenure-track faculty members is 10-20% time allocation to total workload according to the university workload guideline. All members of the department tenure-track faculty will serve on departmental committees as needed and as appropriate to their appointment and rank. Faculty members may be elected to some committees, or appointed to committees by the department chair, in consultation with the executive committee.

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

Tenure-track faculty are eligible to serve on any departmental committee or subcommittee. Details on the committees and their duties can be found in section VII above.

Advising of students is an important service as well as an instructional activity. Faculty, particularly senior faculty, are expected to serve on College or University committees as needed. Faculty members also perform professional service for the community of mathematicians by serving on committees of professional societies, presenting invited talks, organizing conferences, refereeing articles, editing journals, etc. Faculty members serve the university scientific community and the local community by consulting on mathematical problems of interest.

Service loads should be discussed and agreed to during annual performance and merit reviews. When heavy service obligations are primarily volunteer in nature, the department chair is not obligated to modify the service load of the faculty member (reduce teaching and/or scholarly obligations). If, however, a heavy service load is due to the faculty member's unique expertise, perspective, or voice, this should be noted in the annual performance review letter, considered when distributing the faculty member's other duties, and taken into account for the AMC Process. The department chair should also consider this additional service burden in managing equity of service loads among faculty.

1. Special assignments (SAs)

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

An SA releases a tenure-track faculty member from some regular duties for a period of up to one full semester so that they may concentrate on a unique research, service or teaching endeavor or invest in a relatively brief professional development opportunity. Probationary tenure-track faculty whose offer letter provides one or more course reductions during the probationary period are typically not eligible for an

SA. Reasonable efforts will be made to award SA opportunities subject to the quality of faculty proposals, including their potential benefit to the department or university, and the need to assure that sufficient faculty are always present to carry out department work.

Faculty members who desire an SA should discuss the matter with the vice chair for administration in the Autumn semester of the academic year *before* the SA is expected to take place.

Written proposals for SAs by faculty should indicate the nature of the assignment and the impact the assignment will have on the faculty member and the institution. SA proposals are reviewed by the Advisory Committee, which makes recommendations to the department chair. Approval at the department level takes into account the budgetary and staffing needs of the department and the appropriateness of the activity proposed for the professional development of the faculty member and the academic mission of the department. The chair's recommendation to the dean regarding an SA proposal will be based on the quality of the proposal and its potential benefit to the department or university and to the faculty member as well as the ability of the department to accommodate the SA at the time requested. The department chair will indicate how the unit will accommodate the loss of research, teaching, or service that results from the change in duties.

B. Teaching faculty

Teaching faculty members are expected to contribute to the university's mission via teaching and service, and to a lesser extent scholarship. These appointments exist for faculty members who focus principally on the education needs for the department. Service expectations are similar to those for tenure-track faculty. The standard workload expectations for full-time teaching faculty members are 65-100% teaching, 0-30% scholarship, and 0-30% service. Teaching faculty are eligible to serve on the following departmental committees: undergraduate studies committee, undergraduate recruitment committee, undergraduate advising committee, instructional improvement and evaluation committee, departmental climate committee, and communications committee. Details on the committees and their duties can be found in section VII above.

C. Associated faculty

Standard workload expectations for compensated associated faculty members are 80-100% teaching, 0-20% scholarship, and 0-20% service, depending on the terms of their individual appointments.

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

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

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

D. Modification of duties

The Department of Mathematics strives to be a family-friendly unit in its efforts to recruit and retain high quality faculty members. To this end, the department is committed to adhering to the College of Arts and Sciences' guidelines on modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption/fostering, or care for an immediate family member who has a serious health condition, or a qualifying exigency arising out of the fact that the

employee's immediate family member is on covered active duty in a foreign country or call to covered active duty status. See the college pattern of administration for details. The faculty member requesting the modification of duties 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. See the OHR Parental Care Guidebook for additional details. See also the Parental Leave Policy in Section XII. A faculty member who is relieved of teaching duties for a semester under the modified duties process cannot be required to make up the teaching at a later time.

X. COURSE OFFERINGS, TEACHING SCHEDULE, AND GRADE ASSIGNMENTS

All tenure-track and teaching faculty are expected to contribute to the department's teaching, including large enrollment, general education, and specialized courses for undergraduates and graduate students (graduate faculty only).

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

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

XI. ALLOCATION OF DEPARTMENT RESOURCES

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

The chair will discuss the department budget at least annually with the faculty either in the advisory committee, via email, or in a departmental meeting. However, final decisions on budgetary matters rest with the department chair in consultation with the divisional dean.

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

The allocation of salary funds is discussed in the Appointments, Promotion and Tenure Document (see APT, V.G).

XII. LEAVES AND ABSENCES

In general, there are four types of leaves and absences taken by faculty (in addition to parental leave, which is detailed in the Parental Care Guidebook). The University's policies on leaves and absences appear on the Office of Human Resources Policies and Forms website. The information provided below supplements these policies.

A. Discretionary Absence

Faculty are expected to complete a travel request or a request for absence form well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right, and the department 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 Rules require that any discretionary absence of more than ten consecutive business days be approved by the Office of Academic Affairs. See Faculty Rule 3335-5-08.

B. Absence for Medical Reasons

When absences for medical reasons are anticipated, faculty members are expected to complete a request for absence form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). See OHR Policy 6.27 for details.

C. Unpaid Leaves of Absence

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR Policy 6.45. A faculty member may request an unpaid leave of absence for personal or professional reasons. Professional reasons would include an opportunity to accept a visiting appointment at another institution. A faculty member desiring an unpaid leave of absence should submit a written request for the absence as far in advance as possible of the time for which the leave is desired. Unpaid leaves of absence require the approval of the dean, Office of Academic Affairs, and Board of Trustees.

D. Faculty Professional Leave

Information on faculty professional leaves is presented in the OAA Policy on Faculty Professional Leave. A Faculty Professional Leave (FPL) constitutes a more formal departure from tenure-track academic duties than a Special Assignment and may be one or two semesters in length. FPLs involve salary reductions and other considerations established by the Ohio legislature and University Board of Trustees. Faculty considering an FPL should fully acquaint themselves with these policies before applying for leave. Faculty members who desire an FPL should discuss the matter with the vice chair for administration in the Autumn Semester of the year *before* the FPL is to take place.

Applications for FPLs are reviewed and ranked by the Advisory Committee. The department chair then makes a recommendation to the dean based on the quality of the proposal, the budgetary and staffing needs of the department and the appropriateness of the activity proposed for the professional development of the faculty member and the academic mission of the department. FPL proposals must be approved by the Dean, the Office of Academic Affairs, and Board of Trustees before they may be implemented.

E. Parental Leave

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

In some circumstances, a modified workload for a period of time may offer a better solution than the use of leave. The College of Arts and Sciences has developed a modified duty practice for faculty that exists within the framework of the university's leave policies. See section IX.D. of this document and Appendix A in the College of Arts and Sciences Pattern of Administration.

XIII. ADDITIONAL COMPENSATION AND OUTSIDE ACTIVITIES

Information on additional compensation is presented in the OAA Policy on Faculty Compensation. Information on outside activities is presented in the university's Policy on Outside Activities and Conflicts. The information provided below supplements these policies.

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

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

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

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

XIV. FINANCIAL CONFLICTS OF INTEREST

Information on faculty financial conflicts of interest is presented in the university's Policy on Outside Activities and Conflicts.

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

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

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

XV. GRIEVANCE PROCEDURES

Members of the department with grievances should discuss them with the department chair who will review the matter as appropriate and either seek resolution or explain why the resolution is not possible. Staff members may bring grievances to the Staff Ombudsperson, who may request the appointment of an ad hoc committee to consider a grievance, if necessary.

Formal procedures for the review of specific types of complaints and grievances are described below.

A. Salary Grievances

A faculty member who believes that his or her salary is inappropriately low should discuss the matter with the department chair. A staff member who believes that his or her salary is inappropriately low should discuss the matter with the vice chair for administration. 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 department chair may be eligible to file a salary appeal at the college level as described in the college Pattern of Administration. They may also be eligible to file a formal salary appeal with the Office of Academic Affairs (see the Office of Academic Affairs Procedures and Guidelines Handbook, Chapter 4, Section 2.

Staff members who are not satisfied with the outcome of the discussion with the vice chair for administration and wish to pursue the matter should contact Employee and Labor Relations in the Office of Human Resources.

B. Faculty Promotion and Tenure Appeals

Promotion and tenure appeal procedures are described in Faculty Rule 3335-5-05.

C. Faculty and Staff Misconduct

Complaints alleging faculty misconduct or incompetence should follow the procedures in Faculty Rule 3335-5-04.

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

D. Harassment, Discrimination, and Sexual Misconduct

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

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

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

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

F. Complaints by and about Students

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. The vice chair for undergraduate studies handles student complaints about undergraduate courses at the 1152 level and above. The director for undergraduate instruction handles complaints for all courses below 1151. When students bring forward complaints about courses and instructors, the vice chair or director for undergraduate studies will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the vice chair or director 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 vice chair or director will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not. See Faculty Rule 3335-8-23.

Grade grievances are handled as described in Faculty Rule 3335-8-23. Graduate student grievances are handled by the vice chair for graduate studies and may be referred to the Graduate Studies Committee for additional review.

Faculty complaints regarding students must be handled according to University rules and policies. Faculty should seek the advice and guidance of the department chair and the vice chairs when problematic situations arise.

G. Academic Misconduct

Faculty members will report any instances of academic misconduct to the Committee on Academic Misconduct in accordance with the Code of Student Conduct. See also Board of Trustees Rule 3335-23-05.