

**PATTERN OF ADMINISTRATION FOR THE
DEPARTMENT OF ECONOMICS**

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PATTERN OF ADMINISTRATION FOR THE DEPARTMENT OF ECONOMICS

I. INTRODUCTION

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

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

II. DEPARTMENT MISSION

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

III. ACADEMIC RIGHTS AND RESPONSIBILITIES

In April 2006, the university issued a reaffirmation of academic rights, responsibilities, and processes for addressing concerns. This statement can be found on the Office of Academic Affairs website, <http://oaa.osu.edu/rightsandresponsibilities.html>

IV. FACULTY

Faculty Rule 3335-5-19, www.trustees.osu.edu 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 include tenure-track faculty, with compensated FTEs of at least 50% in the department. Tenure track faculty joint appointees with FTEs below 50% in this department as well as associated faculty and emeritus faculty may be invited to participate in discussions on nonpersonnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter. Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this department is provided in the Appointments, Promotion and Tenure document.

V. ORGANIZATION OF DEPARTMENT SERVICES AND STAFF

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

VI. OVERVIEW OF DEPARTMENT ADMINISTRATION AND DECISION-MAKING

Policy and program decisions are made in a number of ways: by the department faculty as a whole, by standing or special committees of the department, or by the 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. Chair

The primary responsibilities of the chair are set forth in Faculty Rule 3335-3-35, www.trustees.osu.edu. This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. Along with Faculty Rule 3335-6, www.trustees.osu.edu, the rule 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.

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

- To evaluate faculty members annually in accordance with both university and department established criteria; to inform faculty members when they receive their annual review of their right to review their primary personnel file maintained by their department and to place in that file a response to any evaluation, comment, or other material contained in the file.
- To make recommendations on appointments, promotions, dismissals, and matters affecting the tenure of members of the department faculty to the dean of the college, in accordance with procedures set forth in Faculty Rule 3335-6 www.trustees.osu.edu and this department's Appointments, Promotion and Tenure document.
- To see that all faculty members, regardless of their assigned location, are offered the departmental privileges and responsibilities appropriate to their rank; and in general to lead in maintaining a high level of morale.
- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.

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

Operational efficiency requires that the chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of department academic goals, however, 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 Dean of the College appoints the Chairperson. As the executive officer of the department, the Chairperson is responsible for the general administration of the Economics program.

B. Other Administrators

Director of Graduate Studies (DGS)

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

Director of Undergraduate Studies (DUS)

The Director of Undergraduate Studies is appointed by the Chairperson and is responsible for overseeing the administration of and advising the Chairperson on issues

relating to the Undergraduate program. In this role, the Director of Undergraduate Studies serves as the Chairperson of the Undergraduate Studies Committee, whose duties and obligations are outlined in Section VII-B.4.

4. Undergraduate Honors Advisor

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

C. COMMITTEES

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

1. Committee of Eligible Faculty

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

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

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

2. Faculty Recruitment Committee

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

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

3. Graduate Studies Committee

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

- Recruitment and admission of high quality applicants. This includes the preparation of appropriate brochures and application forms and the scheduling of visits to other campuses for recruiting purposes.
- Review of all applications to determine eligibility for any form of financial assistance. This includes the periodic review of graduate students already receiving assistance to determine their continued eligibility.
- Consultations with new graduate students to determine their respective programs of study. For continuity, the Committee chair serves as an adviser to all graduate students at least through the field examinations.
- The Committee chair will assign a faculty mentor to guide the student toward the formulation of a dissertation proposal. By the time the student is ready to schedule the Candidacy Examination, the Committee chair will have appointed an advisor to supervise the student in the development of the dissertation proposal and completion of the dissertation itself.
- Advising the Chairperson on appropriate graduate-level course offerings and staffing requirements.
- Appointing master's and doctoral examining committees and scheduling said exams. In addition, the Committee should maintain a written record of the performance of each graduate student on both the written and oral parts of the Candidacy Examination. These records become a permanent part of the department file on each student.
- Maintaining complete files on all aspects of each graduate student's stay at the University.
- Help in the placement of all graduate students. This includes helping students prepare vitae for mailing to other departments and agencies and advising graduate students in their job search. The Graduate Studies Committee Chairperson should request that all graduate students expecting placement in the winter of each academic year have a vitae prepared by November (prior to the AEA job meetings).
- Review of all faculty for admission to and advancement in classification in the Graduate Faculty. This includes a formal report to the departmental Chairperson at least once each year on the graduate faculty status of all faculty members. In connection with this function, the *Committee*, through its Chairperson, should arrange to inform all new faculty members of the graduate faculty criteria. The Committee should orient new faculty on graduate affairs participation.

4. Undergraduate Studies Committee

The Undergraduate Studies Committee consists of at least five members of the tenure-track faculty, appointed by the department Chairperson in consultation with the Director of Undergraduate Studies. The Undergraduate Honors Advisor and the Director of Undergraduate Studies will fill two of the appointments, and the Director of

Undergraduate Studies serves as the committee chair. The other appointments are made by the departmental Chairperson in consultation with the Director of Undergraduate Studies. Committee members serve one-year (renewable) terms. The Committee is advisory to the Director of Undergraduate Studies on such matters as:

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

The duties of the Undergraduate Honors Advisor include:

- Advising honors students and developing an honors contract for each student.
- Advising students term by term on the department's offerings for the upcoming term or year.
- Advising honors students from other departments, typically students seeking approval of second majors and economics minors as part of the honors contract process.
- Developing undergraduate research scholarship proposals and senior honors theses projects.
- Monitoring the department's honors course offerings and seeking funds for new honors courses.
- Recruiting honors students to the department.
- Interacting closely with ASC honors counselors and with honors advisers in other departments and occasionally serving as a recruiter representing the department.
- Speaking to student organizations, writing letters to prospective students, etc.

5. Advisory Committee

The Advisory Committee consists of five members, with the department chair being an ex-officio member. The purpose of the committee is to provide advice to the department chair regarding a wide variety of issues facing the department. All tenure-track faculty members are eligible to serve on the committee. The membership of the committee consists of three elected members and two members appointed by the department chair. Members serve a two-year term with ineligibility for one year after the two-year term is served. The members elected during a year will be the faculty member receiving the most votes in an election where each faculty member is endowed with a number of votes equal to the number of vacant positions. If there is a tie, there will be a run-off election among those tied. In the event of a tie in the run-off, the positions will be filled randomly among those tied in the run-off.

6. Diversity Committee

The Diversity Committee consists of one member from the department staff and one from each of the following committees: the Graduate Studies Committee, the Undergraduate Studies Committee, the Faculty Recruitment Committee, and the Promotion and Tenure Committee. The department chair is the chair of the Diversity Committee. The purpose of the committee is to review data related to the diversity of the department and provide advice to the faculty and chairperson regarding diversity issues in the undergraduate program, graduate program, faculty hiring, and tenure and promotion decisions. The members are appointed by the department chairperson for one year (renewable) terms.

VIII. FACULTY MEETINGS

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

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

For purposes of discussing department business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum is defined as a simple majority of all tenure-track faculty members who are on-duty during the term.

Either the chair or one-third of all faculty members eligible to vote may determine that a formal vote conducted by written ballot is necessary on matters of special importance. For purposes of a formal vote, a matter will be considered decided when a particular position is supported by at least a majority of all tenure-track faculty members.

When a matter must be decided and a simple majority of all tenure-track faculty members cannot be achieved on behalf of any position, the chair will 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 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 1.4.5, <http://oaa.osu.edu/handbook.html>. The information provided below supplements these policies.

During on-duty terms, faculty members are expected to be available for interaction with students, service responsibilities and other responsibilities even if they have no formal course assignment that term. Faculty members are expected to hold regular office hours and inform the department staff of their availability. On-duty faculty members should not be away from campus for extended periods of time unless on an approved Special Assignment or other approved leaves (see section XIII).

A. Tenure-track Faculty

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

Teaching

All tenure-track faculty are expected to contribute to the department's teaching, including large enrollment and specialized courses in both the undergraduate and graduate curriculums. The standard teaching assignment for full-time tenure-track faculty members is **three** courses per academic year. Faculty members are also expected to advise undergraduate and graduate students and supervise independent studies and thesis and dissertation work.

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

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

The chair is responsible for making teaching assignments on an annual basis, and may decline to approve requests for adjustments when approval of such requests is not

judged to be in the best interests of the department. All faculty members must do some formal instruction and advising over the course of the academic year.

Scholarship

All tenure-track faculty are expected to be engaged in scholarship as defined in the department's Appointments, Promotion, and Tenure Document (<http://oaa.osu.edu/governance.html>). A faculty member who is actively engaged in scholarship will be expected to publish regularly in high quality peer-reviewed journals as well as in other appropriate venues, such as edited book chapters of similar quality and length as articles. Faculty engaged in basic or applied research are expected to attract extramural funding. Faculty members also are expected to seek appropriate opportunities to obtain patents and engage in other commercial activities stemming from their research.

Service

Faculty members are expected to be engaged in service and outreach to the department, university, profession and community. Typically this will include service on committees within the department and outside of the department.

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

i. Special Assignments

Information on special assignments is presented in <http://oaa.osu.edu/assets/files/documents/specialassignment.pdf>. The information provided below supplements these policies.

Untenured tenure-track faculty normally will be provided an SA for research during their probationary period. Reasonable efforts will be made to provide SA opportunities to all productive faculty members on a rotating basis subject to the quality of faculty proposals, including their potential benefit to the department, and the need to assure that sufficient faculty are always present to carry out department work. The Advisory Committee will evaluate all SA proposals and make recommendations to the chair. If a member of the Advisory Committee submits an SA proposal, he or she will be recused from the review process for all proposals. 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.

SAs must be requested following the timetable specified by the department chair. The number of SAs offered during an academic year may be limited by the Executive Dean of Arts and Sciences.

B. Associated Faculty

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

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

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

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

C. Parental Modification of Duties

The Department of Economics strives to be a family-friendly unit in its efforts to recruit and retain high quality faculty members. To this end, the department is committed to adhering to the College of Arts and Science's guidelines on parental modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption. See the college pattern of administration at (<https://oaa.osu.edu/governance.html>) for details.

X. COURSE OFFERINGS AND TEACHING SCHEDULES

The department chair will annually develop a schedule of course offerings and teaching schedules in consultation with the faculty, both collectively and individually. While every effort will be made to accommodate the individual preferences of faculty, the department's first obligation is to offer the courses needed by students. To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs, reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students required by Faculty Rule 3335-8-17, www.trustees.osu.edu will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent term. 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 terms of offering to assure that instructional expertise is always available for such courses.

XI. ALLOCATION OF DEPARTMENT RESOURCES

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

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

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

The allocation of office space will include but not be limited to considerations such as achieving proximity of faculty in subdisciplines and productivity and grouping staff functions to maximize efficiency.

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

Funds that support faculty members' research may be allocated annually through individual research and teaching support accounts. These allocations may be set either through letters of offer or through the allocation of discretionary funds by the department chair. They will vary over time and across faculty members depending on the availability of funds and the contributions of the faculty to the mission of the department. Use of the funds requires the approval of the department chair, and use is subject to university policies and procedures, as well as department guidelines. Uses may include a large variety of support for faculty members' research and teaching activities. Examples include but are not limited to professional travel, the purchase of data sets, subject payments in experiments, scholarly books and texts. Approval of expenditures by the department chair also is required for funds from external grants.

XII. LEAVES AND ABSENCES

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* <http://oaa.osu.edu/handbook.html> and Office of Human Resources Policies and Procedures website <https://hr.osu.edu/policies-forms>. The information provided below supplements these policies.

A. Discretionary Absence

Faculty are expected to inform the department chair well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular term is substantial. Rules of the University Faculty require that the Office of Academic Affairs approve any discretionary absence of more than ten consecutive business days.

B. Absence for Medical Reasons

When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence

covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. For additional details see OHR Policy 6.27, <https://hr.osu.edu/public/documents/policy/policy627.pdf>

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, <https://hr.osu.edu/public/documents/policy/policy645.pdf>.

D. Faculty Professional Leave

Information on faculty professional leaves is presented in the OAA Policy on Faculty Professional Leaves (<http://oaa.osu.edu/assets/files/documents/facultyprofessionalleaves.pdf>). The information provided below supplements these policies.

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

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

XIII. SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY

Information on faculty supplemental compensation is presented in the OAA Policy on Faculty Compensation (<http://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>). Information on paid external consulting is presented in the university's Policy on Faculty Paid External Consulting (<http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>). 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 supplemental compensation must be approved by the department chair regardless of the source of compensation. External consulting also must be approved. Approval will be contingent on the extent to which a faculty member is carrying out duties at an acceptable level, the extent to which

the extra income activity appears likely to interfere with duties, and the academic value of the proposed consulting activity to the department. In addition, University policy stipulates that faculty may not spend more than one business day per week on activities providing supplemental compensation 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.

XIV. FINANCIAL CONFLICTS OF INTEREST

Information on faculty supplemental compensation is presented in the university's Policy on Faculty Financial Conflict of Interest

(<http://oaa.osu.edu/assets/files/documents/financialconflictinterest.pdf>).

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

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

XV. GRIEVANCE PROCEDURES

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

A. Salary Grievances

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

Faculty members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter may be eligible to file a more formal salary appeal (see the Office of Academic Affairs Policies and Procedures Handbook, <http://oaa.osu.edu/handbook.html>) and Appendix C of the College of Arts and Sciences' Pattern of Administration (<https://oaa.osu.edu/governance.html>).

Staff members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter should contact Consulting Services in the Office of Human Resources (www.hr.osu.edu).

B. Faculty Misconduct

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04, www.trustees.osu.edu.

C. Faculty Promotion and Tenure Appeals

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05, www.trustees.osu.edu.

D. Sexual Misconduct

The university's policy and procedures related to sexual misconduct are set forth in OHR Policy 1.15, <https://hr.osu.edu/public/documents/policy/policy115.pdf>.

E. Student Complaints

Normally student complaints about courses, grades, and related matters are brought to the attention of individual course instructors. In receiving such complaints, instructors 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 or not.

Faculty complaints regarding students must always be handled strictly in accordance with university rules and policies. Faculty should seek the advice and assistance of the chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct (see www.oaa.osu.edu/coam/home.html and <http://senate.osu.edu/committees/COAM/COAM.html>).

F. Code of Student Conduct

The Code of Student Conduct is Faculty Rule 3335-23, <http://trustees.osu.edu/rules/code-of-student-conduct.html>

XVI. Mentoring

A. The assignment process

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

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

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

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

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

Mentors are expected to meet with their mentees regularly.

Mentors are expected to give advice to their mentees regarding research, service, and teaching. For example, mentor advice about research could include, but is not limited to, advice about publication strategies, external and internal grant applications, strategies to increase visibility in the profession, and professional networking. Recommended mentoring functions are fully detailed in College and University documents on mentoring programs, including "Social and Behavioral Sciences (SBS) Guidelines for Faculty Mentoring" updated September 12, 2012, available from the department administrative staff.

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

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

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

Mentors and the department chair shall, whenever feasible, inform mentees of mentoring programs available outside the department. These may include mentoring programs available through the Division, College, University, or through prominent professional organizations.