

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

Last approved by the Faculty: 5/31/20

Approved by the Office of Academic Affairs: 06/26/2020

**PATTERN OF ADMINISTRATION  
FOR THE DEPARTMENT OF FINANCE  
MAX M. FISHER COLLEGE OF BUSINESS  
THE OHIO STATE UNIVERSITY**

**Table of Contents**

I	Introduction.....	3
II	Department Mission.....	3
III	Academic Rights and Responsibilities.....	3
IV	Faculty .....	3
V	Organization of Department Services and Staff .....	5
VI	Overview of Department Administration and Decision-Making.....	5
VII	Department Administration .....	5
	A Chair.....	5
	B Committees .....	6
	i. Standing Committees .....	7
	ii. Ph.D. Committee.....	7
	iii. Faculty Recruiting Committee.....	7
	iv. Department Executive Committee .....	7
	v. Ad Hoc Committees and Task Forces.....	7
	vi. Promotion and Tenure Review Committee .....	7
	vii. Curriculum Committee .....	7
	C Additional Consultation .....	7
VIII	Faculty Meetings .....	8
IX	Policies on Faculty Duties and Responsibilities .....	8
X	Course Offerings and Teaching Schedules .....	9
XI	Allocation of Department Resources.....	10
XII	Leaves and Absences .....	10
	A. Discretionary Leave .....	10
	B. Absence for Medical Reasons .....	10
	C. Unpaid Leaves of Absence.....	11
	D. Faculty Special Assignments .....	11
	E. Faculty Professional Leave .....	11
	F. Parental Leave .....	12
XIII	Supplemental Compensation and Paid External Consulting Policy .....	12

XIV	Financial Conflicts of Interest.....	13
XV	Grievance Procedures .....	13
	A. Salary Grievances.....	13
	B. Faculty Misconduct.....	13
	C. Faculty Promotion and Tenure Appeals.....	14
	D. Sexual Misconduct.....	14
	E. Student Complaints .....	14

**PATTERN OF ADMINISTRATION  
FOR THE DEPARTMENT OF FINANCE  
MAX M. FISHER COLLEGE OF BUSINESS  
THE OHIO STATE UNIVERSITY**

Revised May 31, 2020

## **I INTRODUCTION**

This document provides a brief description of the Department of Finance as well as a description of its policies and procedures. It supplements the Rules of the University Faculty (<https://trustees.osu.edu/bylaws-and-rules/university-faculty-rules>), 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 re-appointment 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 Finance is to provide an environment conducive to faculty research and teaching of the highest caliber to advance the area of finance. The department strives to develop its faculty throughout their careers in the achievement of excellence in teaching, research, and service.

## **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, <https://oaa.osu.edu/rightsandresponsibilities.html>.

## **IV FACULTY**

Faculty Rule 3335-5-19, <https://trustees.osu.edu/bylaws-and-rules/3335-5>, 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 (TT), clinical, and associated faculty.

Tenure-track faculty with least 50% FTE are eligible to vote on most matters, unless they also hold the title of associate dean or higher, in which case they might have a dual, and potentially conflicting role of having to review and/or approve recommendations from the Department.

The Department of Finance has clinical faculty members. Clinical faculty titles are assistant professor of clinical finance, associate professor of clinical finance, and professor of clinical finance. The number of clinical faculty comprising the group of clinical faculty can be no more than 20% of the number of total tenure-track faculty. Clinical faculty may vote in all matters of department governance except tenure track appointment, promotion and tenure decisions.

Associated faculty (adjunct faculty, lecturers, senior lecturers, visiting faculty and tenure-track and

clinical faculty with less than 50% FTEs) and emeritus faculty are invited to participate in discussions on non-personnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this department is provided in the college [Appointments, Promotion and Tenure](https://oaa.osu.edu/governance.html) document available at <https://oaa.osu.edu/governance.html>.

## **V ORGANIZATION OF DEPARTMENT SERVICES AND STAFF**

The department has two separate groups of tenure-track faculty: Finance faculty and Business Law faculty. The department also has clinical finance faculty, senior lecturers, lecturers, and adjunct faculty. The department offices are managed by a senior administrative staff person, and several additional full time staff members. The department hosts one research center (The Charles A. Dice Center for Research in Financial Economics) and is closely affiliated with two interdisciplinary research centers: The Ohio State Center for Real Estate Education and Research and The Risk Institute.

## **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**

The administration of the Department of Finance consists of a department chairperson, standing committees, coordinators, and such other committees and task forces as deemed necessary by the faculty.

### **A Chair**

The primary responsibilities of the chair are set forth in Faculty Rule 3335-3-35, <http://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html> . This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule 3335-6, <https://trustees.osu.edu/bylaws-and-rules/3335-6>, also requires the chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to appointments, reappointments, promotion and tenure. The Department of Finance adheres to the Fisher College of Business Appointments, Promotion and Tenure Document.

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 recruitment, 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 and staff 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 recommend, after consultation with the faculty, appointments, reappointments, 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, <https://trustees.osu.edu/university-faculty-rules/3335-6>, and the college Appointments, Promotion and Tenure document available at <https://oaa.osu.edu/governance.html>.
- To see that all faculty members, regardless of their assigned location, are offered departmental privileges and responsibilities appropriate to their 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, training and development are offered to those members of the staff who may profit by such assistance.
- To recognize the multi-disciplinary nature of the Fisher College of Business and the corresponding importance of effective collegiality and cooperation in both academic undertakings and administrative operations.
- To prepare, after consultation with tenured faculty, annual budget recommendations for the consideration of the dean of the college.

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 tenured faculty, the dean of the college, 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 reason for the departure, ideally before action is taken.

## **B 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 Promotion and Tenure Committee and Committee of Eligible Faculty. The Promotion and Tenure Committee makes recommendations to the chair.

Standing committees are established by the faculty to handle matters of ongoing interest. The chair appoints the chairperson of each standing committee and additional members as needed. Unless otherwise stated, committee members are appointed for an annual term subject to review and renewal. Depending upon college and department priorities, some committees may be left vacant in a given year. The standing committees of the department are currently as follows:

Ph.D. Committee. The committee is responsible for Ph.D. policy and curricular issues as well as the admission, development, and evaluation of Ph.D. students. The chair of the department Ph.D. committee normally serves as the representative to the college Ph.D. in Business Administration committee.

Faculty Recruiting Committee. After consulting with the faculty and the dean as to the specific needs of the department in any given year, the committee is responsible for: i) advertising potential positions; ii) developing the applicant pool, including the screening of any applications that are received as well as the solicitation of potential interest or other promising candidates; iii) conducting preliminary interviews; and iv) arranging campus visits for the most promising prospects. Note that the committee will typically need to consult with the dean as well as with other faculty members to determine both the number and nature of the final pool of prospects for campus visits.

Department Executive Committee. At the beginning of each calendar year, the department faculty will vote three tenured faculty members (by highest number of votes) to form the department executive committee. Each faculty member will be given three votes to be distributed over three different eligible candidates. The chair of the department will be an ex officio member of this committee. The purpose of this committee is to provide advice to the chair of the department on matters considered important to the department, especially those that involve development of policy.

Ad Hoc Committees and Task Forces may be established as deemed necessary by the department chair or as directed by the department faculty when assembled in a meeting. Two that deserve special note are the Departmental Promotion and Tenure Committee and the Departmental Curriculum Committee.

Promotion and Tenure Review Committee. The duties and make-up of the Department Promotion and Tenure Committees are described fully in the college Appointments, Promotion and Tenure document available at <https://oaa.osu.edu/governance.html>. However, in recognition of the fact that the Department of Finance consists of two distinct sub groups, Business Law and Finance, it is the custom of the Department to make every reasonable effort to choose faculty from the corresponding faculty sub group to serve on the committee for a given promotion and tenure case (i.e., the department has a strong preference to have a Business Law Faculty serve on Business Law cases and Finance faculty serve on Finance cases).

Curriculum Committee. Recommendations for changes to the requirements for any majors or specializations in the undergraduate and in the MBA graduate programs and for the Special Masters in Business – Finance (SMF) program will be proposed by a department curriculum committee, and, on approval of the department, will be forwarded to the college and Office of Academic Affairs.

## **C Additional Consultation**

The chair will consult with other senior faculty in the department on matters affecting the department and its teaching and research programs. Group consultation, individual consultation, and electronic consultation will be used as appropriate.

Issues deemed more appropriate for individual consultation include, for example, communication of

salary increases and work load assignments; discussion of such things as professional leaves of absence; dismissals of staff; and appointments and dismissals of lecturers. The outcomes of such consultation will be communicated to the faculty as a whole where appropriate.

## VIII FACULTY MEETINGS

Meeting Schedule. 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 meeting of the department faculty will also 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.

Agenda Items. 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.

Minutes. The chair will distribute minutes of faculty meetings to faculty by e-mail — within seven days of the meeting if possible. These minutes may be amended at the next faculty meeting by a simple majority vote of the faculty who were present at the meeting covered by the minutes.

Voting. Special policies pertain to voting on personnel matters, and these are set forth in the college Appointments, Promotion and Tenure document available at <https://oaa.osu.edu/governance.html>. For purposes of discussing department business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum will be defined as a simple majority of all faculty members eligible to vote.

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

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

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

## IX FACULTY DUTIES AND RESPONSIBILITIES

The university's guidelines with respect to faculty duties and responsibilities are set forth in the Office of Academic Affairs Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.4.3, <https://oaa.osu.edu/policies-and-procedures-handbook>. The information provided below supplements those policies.

During on-duty periods, faculty members are expected to be available for interaction with students, conduct research, and participate in departmental meetings and events even if they have no formal course assignment. On-duty faculty members should not be away from campus for extended periods of time unless on an approved leave (see section XII) or on approved travel. Faculty members are expected to schedule and hold office hours sufficient for meeting student needs in the classes assigned to them.



A full-time faculty member's primary professional commitment is to The Ohio State University. A faculty member who has 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 OAA's [Faculty Conflict of Commitment policy](#).

#### **Parental Modification of Duties**

The Department of Finance 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 Fisher College of Business'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 OHR [Parental Care Guidebook](#) and the [college pattern of administration](#) for details.

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

## **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 the students at times and in formats, including on-line instruction, most likely to meet student needs.

The chair will obtain the requested number of course sections (teaching envelopes) from the various programs (undergraduate, MBA, SMF, and PhD). After soliciting faculty teaching interests, the chair will prepare a tentative teaching schedule for the coming year. As part of this process, the chair will consult with the deans and appropriate program directors. Based on the teaching preferences of faculty, AACSB accreditation standards, program needs, financial resources, and the scheduling needs of students, the chair will prepare final teaching schedules for each semester. In coordination with this process, the chair will assign administrative, committee, task force, classroom teaching, and other assignments in accordance with the Allocation of College Resources statement (See [College Pattern of Administration](#) for details) as he or she deems appropriate to meet the diverse needs of the department.

It is the responsibility of the chair to arrange for the instructional coverage of courses not taught by tenure-track faculty. Alternatives include part-time adjuncts, Ph.D. students, full time non-tenure track faculty, and visiting faculty. In the case of non-tenure track faculty and visiting faculty, the chair will seek the advice of senior faculty prior to proposing an appointment to the dean. As appropriate, the chair will also seek the advice of interested faculty regarding the use of adjunct faculty and Ph.D. 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 (<https://trustees.osu.edu/bylaws-and-rules/3335-8>) will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent

semester.

Finally, to the extent possible, courses required in any curriculum or courses with routinely high demand will be taught by at least two faculty members across semesters of offering to assure that instructional expertise is always available for such courses.

## **XI ALLOCATION OF DEPARTMENT RESOURCES**

The chair is responsible for the fiscal and academic health of the department and for assuring that all resources – fiscal, human, and physical – are allocated in a manner that will optimize achievement of 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. However, final decisions on budgetary matters rest with the chair.

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

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

The allocation of salary funds is discussed in the college [Appointments, Promotion and Tenure](https://oaa.osu.edu/governance.html) document available at <https://oaa.osu.edu/governance.html>.

Subject to the availability of department funds, the chair will top off the Individual Spending Accounts provided by the college to a level determined by the Department Executive Committee.

## **XII LEAVES AND ABSENCES**

The university's policies and procedures with respect to leaves and absences are set forth in OAA's [Policies and Procedures Handbook](#) and the Office of Human Resources (OHR) [Policies and Forms website](#). The general categories for leaves are summarized below.

### **A Discretionary Leave**

Faculty members are expected to complete a travel request ([etravel.osu.edu](http://etravel.osu.edu)) or an [Application for Leave form](#) well in advance of a planned absence (including for attendance at a professional meeting or to engage in consulting) to provide time for its consideration/approval and to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the college retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular semester is substantial. [Faculty Rule 3335-5-08](#) requires that OAA approve any discretionary absence longer than ten consecutive business days and must be requested at <https://eleave.osu.edu/>.

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

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

details, see [OHR policy 6.27](#).

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

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in [OHR policy 6.45](#). A faculty member may request an unpaid leave for personal or professional reasons. Professional reasons include the opportunity to take a temporary paid position outside the university that will enhance professional development and increase the faculty member's value to the academic unit on return. A faculty member applying for unpaid leave should submit a written request for the absence as far in advance as feasible since such leaves require approval by the department chair, dean, and OAA. Among other factors, approval will be based on the ability of the department and the college to cover the faculty member's responsibilities, and the implications of the leave on furthering the missions of the department and the college.

### **D Faculty Special Assignments**

A Special Assignment (SA) redistributes some of the regular duties of a tenure-track faculty member for a period of up to one full semester so that he or she may concentrate on a unique research, teaching, or service endeavor or invest in a relatively brief professional development opportunity. A Special Assignment may be completed on campus or away from campus. Since the faculty member is not on leave, but rather on full-time duty with the university during a Special Assignment, he or she is not permitted to receive compensation from another institution other than approved paid external consulting. The Special Assignment also does not change the faculty member's promotion schedule nor the annual performance evaluation standards. 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 college adheres to the procedures specified in OAA's policy on [Faculty Special Assignment](#).

### **E Faculty Professional Leave**

The Faculty Professional Leave (FPL) program was created to give long-serving tenured faculty a period of uninterrupted time (one or two semesters) to invest in their professional development. FPL proposals generally emphasize enhancement of research skills and knowledge – see OAA's policy on [Faculty Professional Leave](#).

The procedure for applying for an FPL for department faculty is as follows. Faculty members should complete OAA's [Application for Faculty Professional Leave](#). An FPL requires approval from department chair, college dean, OAA, and Board of Trustees.

The department wants to make every effort to enable its members to enhance their research skills and make progress in their research activities. The department's Executive Committee will review all requests for faculty professional leave and make a recommendation to the department chair based on the following criteria:

1. The faculty member requesting a faculty professional leave must submit a proposed plan that describes how the leave will further his/her development.
2. Programmatic needs of the department must be met before a faculty professional leave can be approved.
3. A faculty professional leave proposal can be turned down if there are funding constraints.

4. The proposal's "enhancement of research skills and knowledge" discussion will be the prime driver for approval.
5. The research track record of the applicant will be taken into account to assess the proposal and to determine whether the proposal is well-suited to achieve the goals of the applicant.
6. Generally, the department encourages its members to use faculty professional leave to visit leading research institutions around the world.
7. Proposals whereby a candidate wants to enhance research skills and knowledge while staying in residence are unlikely to be successful.
8. The department will process faculty professional leaves on the recommendation of the dean of the college, as part of the dean's support of faculty providing administrative service to the college. These faculty professional leaves must be funded by the dean's office.

Only if the chair's recommendation is to approve, the proposal and the recommendation are forwarded to the dean or the dean designee. The dean or the dean designee will evaluate these proposals using similar criteria while also accounting for college mission and needs.

Given this, FPL proposals for a particular year must be submitted no later than the end of the Autumn Semester of the preceding year. Exceptions to this timing can be granted if unexpected opportunities arise. But, even in these cases, proposals should be submitted to the department chair at least three months prior to the start of the proposed leave in order to meet deadlines for subsequent approvers.

## **F Parental Leave**

The university, the college, and the department recognize the importance of parental leave to faculty members. The details are provided in the university's [Parental Care Guidebook](#), the [Paid Leave Programs policy 6.27](#), and the [Family and Medical Leave policy 6.05](#). The college also provides assistance and flexibility to faculty to manage their workload during parental leave as provided for in the college's workload policy presented in the [College Pattern of Administration](#).

## **XIII SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING**

Information on faculty supplemental compensation is presented in OAA's policy on [Faculty Compensation](#). Information on compensation for external consulting is presented in OAA's policy on [Faculty Paid External Consulting](#).

The department adheres to these policies. In addition, the department expects faculty members to carry out the duties associated with their primary appointment with the university at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation must be approved by the department chair and, where appropriate, the dean, 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 or college. In addition, it is university policy that faculty may not spend more than one business day per week on supplemental compensated activities and external consulting combined. Individuals 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 Faculty Paid External Consulting and with appropriate approval, are permitted to engage in paid external work activities. However, faculty members with administrative positions are not permitted to accept compensation/honoraria for services that relate to or are the result of their administrative duties and responsibilities.

Should a department faculty member wish to use a textbook or other material that is authored by the faculty member and the sale of which results in a royalty being paid to him or her, 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**

The department adheres to the university's policy on [Faculty Financial Conflict of Interest](#). A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member 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 also disclose any other conflicts of commitment that arise in relation to consulting or other work done for external entities.

#### **XV GRIEVANCE PROCEDURES**

A faculty or staff member with a grievance should discuss the issue with their department chair or supervisor who will review the matter as appropriate and either seek resolution or explain why resolution is not possible. The procedures for the review of specific types of complaints and grievances are summarized below.

##### **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 or supervisor. 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 following procedures detailed in OAA's [Policies and Procedures Handbook, Volume 1, Chapter 3](#).

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

##### **B Faculty Misconduct**

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

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

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

### **D Sexual Misconduct**


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

### **E Student Complaints**

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

Faculty complaints regarding students must always be handled strictly in accordance with university rules and policies. Faculty should seek the advice and assistance of the chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, and in accordance with the [Code of Student Conduct](#), evidence of academic misconduct must be brought to the attention of the university's [Committee on Academic Misconduct](#). See also Faculty Rule [3335-23-05](#).

Reviewed and approved by department faculty on



---

Bernadette A. Minton, Chair, Dept. of Finance

Date 5/31/2020