

# **PATTERNS OF ADMINISTRATION**

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

Submitted by  
Eric M. Anderman  
Department of Educational Studies

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## **Introduction**

This document provides a brief description of Department of Educational Studies as well as a description of its policies and procedures. 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.

## **Mission**

The Department of Educational Studies defines its mission as the advancement of scholarship, instruction, and service in scholarly disciplines in education that contribute to the formation of sound policy, effective leadership, and the delivery of professional services at educational, private, and community institutions in all settings and at all levels.

The Department is collectively committed to a balance of scholarship and teaching that leads to the dissemination of the knowledge. The Department of Educational Studies is concerned with both theoretical and practical objects of inquiry and draws upon social, scientific, and humanistic disciplines.

The Department shares the mission and vision encompassed in the core values of the College of Education and Human Ecology: research, educating professionals, diversity and equity, collaboration, professional development, policy formation, technology, and honoring the land-grant mission. Although some of these values are more integral to the department's scholarship and teaching, all pertain to a proper definition of professional service in the University, the state and nation, and the world community.

In pursuit of these ends and values, the Department strives to adhere to the democratic principles of equity and governance.

## **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>

## **Faculty**

Faculty Rule 3335-5-19 (<http://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, faculty who hold administrative appointments outside of the College may maintain voting rights if the Department remains their tenure initiating unit.

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University rules specify that only faculty members of the Department are eligible to vote. Governance participation by non-tenure faculty shall be consistent with university rules, and with the provisions of university rules 3335-7, 3335-7-04, and 3335-5-19 (<http://trustees.osu.edu>).

Graduate faculty membership and status are determined by the Graduate School on recommendation of the Graduate Studies Committee of the Department of Educational Studies.

The Department of Educational Studies makes clinical appointments. Clinical faculty titles are clinical assistant professor, clinical associate professor, and clinical professor. The appointment cap on clinical faculty in relation to the total of tenure-track, clinical, and research faculty is established in the college pattern of administration (see <http://oaa.osu.edu/governance>). Clinical faculty in this Department do not have a voice or a vote in tenure-track faculty promotion and tenure decisions nor do they have a vote on appointments of tenure-track faculty. When considering cases involving clinical faculty, however, the Promotion and Tenure Subcommittee may be augmented by two nonprobationary clinical faculty members.

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

Associated faculty include temporary part-time lecturers or senior lecturers, adjunct professors, visiting professors, and emeritus faculty; these individuals may be appointed by the Chair on the recommendation of program faculty in cases of instructional need, usually to cover the absence of permanent faculty. The amount of remuneration is determined by the Chair, and is adjustable according to rank, workload, and market conditions.

- Adjunct faculty, when appointed by the Chair in consultation with the program faculty and with approval of the Dean, are expected to teach or co-teach one course per year. These appointments may be renewed annually.
- In general, lecturers will teach four 3-credit courses each year. This load can be adjusted in consultation with the Chair based on program needs.
- Visiting faculty (at the rank of instructor, assistant, associate, or full professor), when appointed by the Chair in consultation with the program faculty and with approval of the Dean, may hold full-time, compensated appointments, and they are renewable up to three years.
- Emeritus faculty may be re-hired on short-term agreements subject to programmatic needs and availability of funds.

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

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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.

The Department encourages visits of international scholars, being aware of the value of those visits for enrichment of our own teaching and research programs and for extending the reach and visibility of The Ohio State University in our fields. Because of the numerous possibilities for such visitors, however, the number of such visitors should be restricted by the Chair to no more than four at any given time, their qualifications to be compatible with active program interests in the Department. The Chair must assure that at least one faculty member is willing to take responsibility for the visitor.

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

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

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

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

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

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

#### 14. Biomedical Education (Masters only)

The programs will be autonomous and self-determinative. Each program will have the option of maintaining independence or joining with other programs into a multi-program unit. The creation and maintenance of all multi-program units will be at the discretion of the faculty in each independent program involved. The majority of faculty in each program must be in agreement with any merger plans. The ability to form and dissolve units will be dynamic and based on local needs of faculty. A viable program will have at least one faculty who designates the program as his or her primary program and have a minimum of three faculty members (including the primary faculty member). The number of faculty will not be the sole determinant of viability. Other issues, such as student population, research productivity of faculty, and endowments, will be taken into account. As thirteen programs can be an administrative burden, programs are encouraged to become affiliated into larger units.

The functioning of the programs will be divided between administrative and academic functions and responsibilities. Administrative functions and responsibilities will be transferred to central administrative hubs—the graduate services center, the undergraduate services center, and the Office of the Associate Chair—at the discretion of the program (or multi-program faculty). Academic functions and responsibilities will be maintained by the faculty.

Whereas overall supervision of academic programs is the responsibility of the Department Chair, the operational authority and responsibility are located in the program areas. Each program is led by a Program Chair who is responsible for the timely completion of course scheduling, assigning advisees, admissions processes, leading curricular revision, coordinating the evaluation of lecturers, posting a list of course offerings for the following two years, and other duties required to maintain the smooth running of the program, although those responsibilities may be delegated or arranged in various ways within the programs. Program Chairs will make decisions based on majority consensus of the program faculty. Program Chairs are appointed by the Department Chair, in consultation with the program faculty, for a specified term of two or three years. The Chair or the Associate Chair will seek feedback annually from program faculty about the performance of the Program Chair. The Program Chair will work with the Office of the Chair and Office of the Associate Chair regarding faculty concerns. Located within the programs, academic programs of the Department are governed by College policies as well as by applicable policies of the Graduate School.

Each faculty member will be a member in good standing of at least one program. Faculty members can and are encouraged to develop links with multiple programs, but they must pick one program as their primary home. The faculty member will be responsible to her or his primary program when determining rotation schedules of Program Chairs. The faculty member will also be identified with his or her primary program in elections to committees. All affiliations will be based on experience, background and credentials, and the combined decision of the faculty member and the program faculty. The program will develop a defined process for links and affiliations with individual faculty. A majority of the faculty in any program must approve of the request of another faculty member to have a linked relationship.

There may be three categories of faculty for each program – *primary*, *linked*, and *affiliated*.

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Primary faculty – This is where the faculty members make their primary home. It serves as the starting point for faculty and should be the program where the faculty member has the strongest relationship. The faculty member is committed to teaching core courses within this program, advising graduate students within this program, serving on committees within this program, and providing some type of service commitment to this program. The faculty member will need to consult with the Chair if he or she wishes to establish a relationship with another program. To be a primary faculty you must have some (recognized) expertise in that area (e.g., degree, publications, presentations related to that topic). Exceptions can be made for faculty members who wish to hold a primary affiliation with more than one program area. For these exceptions to be considered, a conversation with the faculty member, the Chair, and the Program Chair(s) should occur wherein the duties and responsibilities of the faculty member will be discussed and documented. All parties must agree before a dual primary affiliation is granted.

Linked faculty – These are faculty within the Department of Educational Studies who would like to be affiliated with other programs in the department. The faculty member will link on the basis of interest or some other type of association, but it is the decision of the individual faculty if they wish to link to a program outside of their primary affiliation. The faculty member does not have to consult with the Chair to establish or to break a link, but ability to link is based on the agreement of primary and linked faculty already in the program area. The linked faculty commits to teaching courses in the linked program if they have fulfilled their responsibilities to the primary program, to participate in admissions decision, including (a) recruitment of graduate students in all its phases, (b) commitment to take graduate students who specifically apply to work with that faculty member (if there is a fit), (c) commitment to serve on program committees, and (d) commitment to engage in at least some service to the program. Faculty members who are unable to maintain their obligations to the linked program, or to their primary program because of these linked obligations, will discuss continuation of relationships during the annual review.

Affiliated faculty – Affiliated faculty are from outside the Department of Educational Studies. These faculty members have no formal obligations to the program, but make some important contribution to the program (e.g., support graduate students through grants, work with faculty/students on ongoing projects, teach course important to the program). They can sit on committees and in special circumstances may chair committees (with permission from the Graduate Studies Committee, the Department Chair, and the Graduate School).

Auxiliary units or programs under the general supervision and budgeting of the Department include the Walter E. Dennis Learning Center, the Student Personnel Assistantship Program, the QREM labs, and the Counseling Clinic. Department faculty are also responsible for editing *Theory Into Practice*. *The Journal of Higher Education* also resides within the auspices of the Department, although editorial work may be performed at other universities via a memorandum of understanding.

The Department offices are located on the main floor of Ramseyer Hall, with satellite offices in the PAES building. The offices are administratively one operation. The Department Chair is responsible for office supervision.

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

Responsibilities of support staff include collecting updated versions of syllabi and curriculum vitae, responding promptly to scheduling requests, submitting requests for materials and supplies, scheduling of rooms for meetings and special events, and taking minutes at meetings as needed. Staff in the Office of Student Services and Graduate Studies report to the Director of that office. The Director of Student Services and Graduate Studies, the HR-Fiscal officer, the HR specialist, and the Executive Assistant to the Chair report to the Chair.

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

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

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

Policy and program decisions are made 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 determines 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, and the presumption of majority faculty rule, constitute the primary means of reaching decisions of central importance.

This implies a commitment to open discussion, an expectation that the Chair's actions will be supported by defensible rationales, and a willingness on the part of the Chair to make rationales public and subject to public critique, as well as a willingness to alter decisions when compelling rationales for doing so are presented.

### **Departmental Administration**

#### ***The Chair***

The primary responsibilities of the Chair are set forth in Faculty Rule 3335-3-35 (<http://trustees.osu.edu>). 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 (<http://trustees.osu.edu>), also requires the Chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to promotion and tenure.

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

- General administration of the Department's Programs, subject to the approval of the Dean of the College.
- Development of a Patterns of Administration document.
- Scheduling faculty meetings and providing a schedule of faculty meetings for each semester to all faculty members prior to the start of each semester, and maintaining a record of minutes.
- Consulting with faculty on policy matters, whenever feasible and at a meeting of the faculty as a whole.
- Recognizing in principle the presumption for majority faculty rule and, whenever majority faculty rule is not followed, providing a public rationale for pursuing another option.
- Operating the business of the Department with efficiency and transparency.
- Strategically planning with the faculty and the Dean for the future of the unit.
- Engaging in ongoing formative evaluation of the Department's instructional and administrative activities.
- Evaluating faculty annually in accordance with established criteria and procedures and insuring that professional development opportunities are available to enhance abilities.
- Encouraging research and scholarly activity.
- Managing all aspects of the Department's annual budget.
- Promoting instructional improvement through review of course syllabi, student evaluations (SEI's), peer-review of teaching, consultation with faculty, and supporting of professional development.
- Serving as a liaison between departmental faculty housed on regional campuses with faculty on the Columbus campus.
- 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.
- Issuing, with the advice of the Department Promotion and Tenure Subcommittee and the approval of the Office of Academic Affairs, a current version of the Department's Appointment, Promotion, and Tenure document, copied to all faculty, to the Dean of the College, and to the Office of the Provost.

Other duties and details articulated in Faculty Rule 3335-3-35C (<http://trustees/osu.edu>) are discussed elsewhere in this document.

The Chair will convene an Executive Committee, composed of current Program Chairs, to provide advice on programs, staffing, agenda, salary, and related matters. The Associate Chair will serve as an ex-officio member of this Committee.

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

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

### *The Associate Chair*

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

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

- Overseeing the operation of the Student Services Office and its relationship with the Graduate Studies Committee.
- Ensuring that curricular revisions, program and course approvals, and requests for new programs and courses are processed in a timely and efficient manner.
- Serving as a liaison between Program Chairs and the Chair's Office.
- Assisting with annual evaluations of faculty and staff.
- Overseeing the scheduling of courses for the Department.
- Supervision of some support staff.
- Working with faculty on regional campuses.
- Other duties as assigned by the Chair.

### **Committees**

Much of the development and implementation of the Department's policies and programs are carried out by standing and ad hoc committees. The Chair is an ex officio member of all department committees and can vote on all committees except the Committee of Eligible Faculty and the Promotion and Tenure Subcommittee. Each committee will lodge a copy of its minutes with the Department Chair as a permanent record.

All members of the department faculty will be enlisted in the joint tasks of governance and service. Staff and students will be enlisted as specified in this document as the Chair or respective committees determine necessary and appropriate to their respective concerns. There will be three elected committees serving as administrative/academic units for the Department as a whole. The three elected committees will be made up of five members and all committees will be elected by the Department as a whole. Each committee member will serve a three-year term. After committee members rotate off a committee, they cannot serve again on the same

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committee for a period of two years—this is not the case for alternates, who may serve again immediately. The committees will have three-year terms with staggered, yearly elections so two committee members rotate off a committee and two new members join every year. The position of the Chair will rotate and be elected by the committee as a whole each year. The Chair's Office will administer elections. Nominations are open and self-nominations are encouraged.

The three elected committees are:

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

All elected members should in some way be affiliated with programs that have involvement with graduate education. All faculty on this committee must have P-status.

The Graduate Studies Committee carries out the functions of a Department graduate committee as outlined in the Graduate School Handbook. The Graduate Studies Committee consists of five (5) faculty members, elected at large for staggered three-year terms, and one (voting) doctoral-level graduate student selected by the graduate students who will serve no more than a two-year term. The Graduate Studies Committee may convene meetings of the graduate faculty as a whole as it deems necessary. The Graduate Studies Committee reports directly to the Graduate School, but is simultaneously responsible to the faculty of the Department. Thus, decisions of the Committee are to be communicated to the Chair and the graduate faculty of the Department. The Graduate Studies Committee is responsible for recommending action on inter-program plans arising from department curriculum initiatives and department approvals on graduate courses and course policy. The Associate Chair will serve as an ex-officio (non-voting) member of this committee. Members of the committee will elect a chair annually.

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

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

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

In the terminology employed by OAA, the Promotion and Tenure (P&T) Subcommittee "assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues" (see the AP&T document).

The P&T Subcommittee consists of at least five (5) tenured faculty members elected for staggered three-year terms from May 1 of one calendar year to April 30 three years later. A majority of the committee members must be full professors and at least one member must be an associate professor. Subcommittee members are elected by nominations from the faculty at large, consistent with University and College rules. A full professor alternate and an associate professor

alternate shall also be elected. A chair will be elected by subcommittee members annually; the chair must be a full professor.

***Additional Committees***

1. *Executive Committee*: The aforementioned “Executive Committee” will consist of the current Program Chairs. This committee will meet regularly with the Chair and Associate Chair to discuss Department-wide issues. This committee also will meet every winter with the Chair and Associate Chair to assist with annual merit reviews of faculty. The committee might also be asked to provide advice on procedural questions (e.g., on whether some funds should be set aside for equity adjustments), as allowable under College and University procedural rules. The Department and Associate Chairs are ex officio members of the executive committee.
2. *Search Committees*: Search committees for the filling of academic position vacancies are formed by the Department Chair, who will normally consult with the Dean and appropriate faculty and Program Chairs regarding committee membership. Unless superseded by the rules of the University, committee conduct and regulation is determined by the Department Chair. It is expected that the Search Committee Chair will be in communication with the Chair on progress and recommendations of the committee. Progress will also be reported, as appropriate to requirements of confidentiality and personal sensitivity, to the Department at faculty meetings. At least one member of each search committee must be a faculty member who is not a member of the program in which the search is being conducted.
3. Chairpersons of the Graduate Studies Committee and the Personnel Subcommittee have one course equivalent released in view of the time-consuming nature of their duties.
4. The Department faculty also elects members to College committees, as requested by the Dean.
5. Ad hoc committees are formed by the Department Chair, on his/her own initiative or on recommendation of Department faculty in meetings. They may be formed with terms certain or until their task is deemed completed, by the Chair or by the faculty. In either case, they may be disbanded by the Chair if his/her judgment is that the Committee is no longer functional for accomplishment of the task assigned.

**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.

Dates for these meetings are announced prior to the start of the semester. An annual meeting takes place within fourteen (14) calendar days after the official start of the autumn semester. Voting members of the Department must be notified of the time and place at least ten (10) days prior to the annual meeting.

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The agendas for the annual and monthly meetings are prepared by the Chair, according to priorities of faculty and College issues.

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

The Chair will distribute minutes of previous faculty meetings to faculty as soon as they are available. These minutes may be amended at the next faculty meeting by a simple majority vote of the faculty who were present at the meeting covered by the minutes.

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

Department meetings are conducted by the Chair and Associate Chair according to Departmental convention. In the case of procedural disagreement, Robert's Rules of Order are followed. Meetings will be conducted in a spirit of collegiality, with the common objective of reaching agreement on the business before the meeting. The Chair, as chair of the meeting, shall be responsible for a fair and reasonable treatment of questions and discussion and for expeditious conclusion of agenda items. In general, and where consensus can be reached through a reasonable period of discussion, a "town meeting" style shall govern procedure.

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

Either the Chair or one-third of the quorum may determine that a formal vote conducted by written ballot is necessary on matters of special importance. For purposes of a formal vote, a matter will be considered decided when a particular position is supported by at least 50% plus one vote of all eligible voting faculty members. Balloting will be conducted by mail, e-mail, or via web-based methods when necessary to assure maximum participation in voting. When a matter must be decided and a simple majority of all faculty members eligible to vote cannot be achieved on behalf of any position, the Chair will make the final decision.

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

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

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

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

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

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

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

### **Faculty Teaching Load**

The university’s policy with respect to teaching (OAA Policy 1.4.5.1) is set forth in the Office of Academic Affairs Policies and Procedures Handbook (<http://www.oaa.osu.edu/handbook>). The information provided below supplements these policies.

A full teaching load (40%) for faculty in the Department typically translates into four three-credit hour courses per academic year. It is possible for one of the assigned courses to be taught during the summer term, with prior approval from the Chair. Minimum enrollments as set forth by the Dean’s office are required for a course to run, although the Chair has the discretion to allow courses with an enrollment below the minimum to still run. When courses are cancelled due to low enrollments, the faculty member must be assigned to perform other duties to make up for that course; those other duties can include assignment to teach a different course, assignment to teach an additional course during a subsequent semester, or performance of other duties within the domains of teaching (e.g., curricular development), research, or service. Teaching responsibilities include supervising independent studies, sitting as member of Master’s, candidacy, and dissertation committees, and other mentoring activities. This load may be adjusted by the Chair, in consultation with the faculty member and the program, in cases where research activity or advising is exceptionally high or low, or where a scholarly activity is exceptionally burdensome to the faculty member and valuable to the Department. Teaching loads for full-time lecturers and senior lecturers are determined by College policy.

All non-tenure clinical faculty will carry an 80% teaching load (i.e., eight three-credit hour courses) and a 20% service load through the year unless otherwise specified by the Chair. Workloads for faculty on regional campuses are negotiated between the Chair and either the Dean or Associate Dean of the regional campus.

New faculty (non-clinical) usually are assigned no more than one course in their first semester in the Department (unless negotiated individually). New faculty are encouraged to enter as soon as possible into all aspects of Department life and senior faculty are expected to assist junior faculty in this integration.

Teaching in the summer is subject to the approval of the Chair, and enrollment minimums—as set forth by the College—are normally expected. The remuneration is determined by College-level policies.

### **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 (<http://www.oaa.osu.edu/handbook>). The information provided below supplements these policies.

During on-duty periods, faculty members are expected to be available for interaction with students, research, and departmental meetings and events even if they have no formal course assignment. On-duty faculty members should not be away from campus for extended periods of time unless on an approved leave (see section on leaves below) or on approved travel.

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

The guidelines outlined here do not constitute a contractual obligation. Fluctuations in the demands and resources of the Department and the individual circumstances of faculty members may warrant temporary deviations from these guidelines. Assignments and expectations for the upcoming year are addressed as part of the annual review by the Department Chair.

A full-time faculty member's primary professional commitment is to Ohio State University, and the guidelines below are based on that commitment. Faculty who have professional commitments outside of Ohio State during on-duty periods (including teaching at another institution; conducting research for an entity outside of Ohio State; external consulting) must disclose and discuss these with the Chair in order to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the OAA Faculty Conflict of Commitment policy (<http://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>).

Faculty duties and responsibilities in the areas of teaching, research, and service are described further in the Department's Appointments, Promotion, and Tenure document.

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

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

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

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

***Special Assignments (SA)***

Information on special assignments is presented in Chapter 3 of the Office of Academic Affairs Policies and Procedures Handbook

(<http://oaa.osu.edu/assets/files/documents/specialassignment.pdf>). The information provided below supplements these policies.

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

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

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

Faculty should submit requests for SAs on the Department's application form to the Chair by January 15 of the academic year prior to the academic year the SA would be taken. The criteria for the Chair's prioritization of requests are:

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

- Competing applications for the period.

The Chair has discretionary authority to assign a research semester to a faculty member even though that faculty member has not submitted a request.

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

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

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

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

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

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

- advise master's students.
- participate in the governance of graduate education at all levels within the university.
- serve on doctoral examination committees as an additional member at the discretion of the Graduate Studies Committee.

**Role in Unit Governance.** As indicated by rule 3335-7-01, clinical faculty do not have a voice or a vote on the unit Promotion and Tenure Subcommittee nor do they have a vote on appointments of tenure-track faculty. Voting rights of clinical faculty are specified earlier in this Pattern of Administration. Clinical faculty would not be appointed to the College Promotion and Tenure Subcommittee, except as noted for promotion cases involving clinical faculty. However,

clinical faculty could be appointed to other College-level committees, per the College Pattern of Administration.

**Differentiation of Responsibilities of Clinical Faculty from those of Tenure-Track Faculty.**

Clinical faculty would not teach courses that address theory only, but would be able to teach courses that are translational. That is, courses taught by clinical faculty would apply theory to field-based practice within “real world” settings. Second, the primary responsibilities for clinical faculty are expected to be in the area of supervision and teaching. Third, there would be no requirement that clinical faculty perform research to achieve Clinical Assistant, Clinical Associate, and Clinical Full Professor status. Fourth, clinical faculty are eligible for M-status in the graduate school, and as such can advise master’s theses and serve on dissertation committees, as an additional member, provided the dissertation committee is chaired by a tenure-track faculty with P-status. Finally, as specified above, clinical faculty members would not have a voice or vote on appointments, promotions, or tenure.

**Compensated Associated Faculty.**

**Senior Lecturers.** Senior lecturers carry an 80% teaching load (i.e., four 3-credit courses per semester) and a 20% service load.

**Part-time Lecturers.** Part-time lecturers provide course coverage when there are not sufficient faculty and senior lecturers to cover the curricular requirements of a program. They are paid at a standard rate of \$5,000 per 3-credit course. If they teach two sections of the same course, they are paid \$7,500.

**Parental Modification of Duties**

The Department strives to be a family-friendly unit in its efforts to recruit and retain high quality faculty members. To this end, the Department is committed to adhering to the College’s guidelines on parental modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption. See the College Pattern of Administration (<http://oaa.osu.edu/governance.html>) 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.

**Course Offerings and Teaching Schedules**

Although the Department Chair and Associate Chair have ultimate responsibility for the course schedule, Program Chairs, in consultation with program faculty, develop the schedule for courses for their program. Although every effort will be made to accommodate the individual preferences of faculty, the department’s first obligation is to offer the courses needed by students at times most likely to meet student needs. To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week, and to offer courses within the

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university's established guidelines for timing of course offerings under the semester calendar. To meet student needs, reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students as required by Faculty Rule 3335-8-17 (<http://trustees.osu.edu>), by the College, or the Chair will normally be cancelled and the faculty member assigned other duties (see above, Teaching Load). Courses may be bought out at a rate of 20% of 9-month salary per course, although this rate may be negotiated with the Chair.

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

When there are no tenured/tenure-track or clinical faculty available to teach a course, Program Chairs and faculty are expected to supply recommendations for qualified lecturers and adjuncts in their specializations. The Chair will make such teaching appointments as early as possible, and will use the list for expeditious assignment in unexpected last-minute situations. Whereas lecturers will be used to maximize the teaching force in the Department, their course enrollments should exceed averages for faculty.

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

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

While recognizing there are many forms of evaluation, the Department requires observable procedures and standards for course evaluation. The Department also expects program evaluation to be carried out formatively. The Chair may appoint a special committee to make an evaluative report of any specialization area.

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

### **Allocation of Department Resources**

The Department budget is determined by the College. Allocations are determined in light of enrollments, faculty load, generation of research support as well as the Department's perceived strengths, reputation, support to College programs and projects, and other relevant factors presented by the Chair, who is responsible for the fiscal and academic health of the Department and for assuring that all resources—fiscal, human, and physical—are allocated in a manner that will optimize achievement of department goals.

The Chair will discuss the Department budget at least annually with the faculty and discuss the use of funds across general categories. However, final decisions on budgetary matters rest with the Chair.

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

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

The criteria for merit salary increases is discussed in the Department AP&T document.

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

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

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

Specialization areas are allocated a budget for costs, from which expenditures are initiated by the Program Chair. Office supplies will be handled centrally by the Chair's office.

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

### **External Funding**

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

When contemplating or planning to apply for a grant, faculty should meet early on with the fiscal officer, the Chair, and a budgeting expert from the Associate Dean for Research's office to discuss the financial impact of the grant on the Department's budget. Principal Investigators (PIs) should develop the budget with the staff from the Associate Dean for Research's office and discuss the budget with the Department's fiscal officer and the Chair before submitting the grant proposal.

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

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

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

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

### ***Release Time Expected***

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

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

Release time for one course should be calculated at the rate established by the College (currently 20%) of the nine-month salary. If the amount of release time is less than the established rate of the faculty member’s salary required to buy out the teaching of a course, the release time will be deposited in a release-time account assigned to that faculty member. When the release-time account accrues to the 20% sufficient to buy out the teaching of a course, then the faculty member may buy out a course according to the customary formula for doing so, namely: after the salary plus benefits has been deducted for paying a lecturer to teach a course, 80% of release time remains with the Department and 20% is made available to the faculty member to expend for approved professional purposes.

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

## 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://www.oaa.osu.edu/handbook>) and Office of Human Resources Policies and Forms website (<https://hr.osu.edu/policies-forms>). The information provided below supplements these policies.

### *Discretionary Absence*

Faculty are expected to complete an Application for Leave form (<https://eleave.osu.edu>) well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting or to give an invited presentation) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the Chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular semester is substantial. Faculty Rule 3335-5-08 requires that the Office of Academic Affairs approve any discretionary absence of ten or more consecutive business days.

### *Absence for Medical Reasons*

When absences for medical reasons are anticipated, faculty members are expected to complete 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 promptly inform Chair so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used-not banked. For additional details see OHR Policy 6.27 (<http://hr.osu.edu/policy/policy627.pdf>).

### *Unpaid Leaves of Absence*

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in the Office of Academic Affairs Policies and Procedures Handbook (<http://www.oaa.osu.edu/handbook>) and Human Resources Policies (<https://hr.osu.edu/public/documents/policy/policy645.pdf>). The Chair submits requests for leave to the Associate Dean for Faculty. If approved, the Dean will seek approval from the Vice Provost for Academic Policy and Faculty Resources.

### *Faculty Professional Leave (FPL)*

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

The Chair's final recommendation to the Dean regarding an FPL proposal will be based on the quality of the proposal, recommendations from an initial review by a committee of peers, and its potential benefit to the Department and to the faculty member, as well as the ability of the Department to accommodate the leave during the time requested.

The Faculty Professional Leave Program should be considered for any period of intensive study or research of one or two semesters. Only tenured faculty with at least seven years of service as a faculty member at Ohio State are eligible for a Faculty Professional Leave. Years of service at

another university and years served in associated appointments cannot be credited toward the required years of service at Ohio State.

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

A Special Assignment and an FPL may occur in contiguous on-duty semesters even if they bridge academic years. An FPL will not be granted for less than one semester (see <http://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>, section 1.2, Timing). An FPL must be for a continuous period but may bridge an off-duty quarter or semester.

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

Faculty must follow the University and College guidelines when applying for an FPL (see <http://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>).

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

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

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

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

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

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

Information on faculty supplemental compensation and paid external consulting is presented in the OAA Policy on Faculty Compensation (<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.

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

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

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

### ***Conflict of Interest***

Information on faculty financial conflicts of interest is presented in the university's Policy on Faculty Financial Conflict of Interest (<http://orc.osu.edu/files/2013/02/Policy-on-Faculty-Financial-Conflict-of-Interest.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's or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting, or reporting research.

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

A faculty member must complete the *Paid External Consulting Approval Form* for each consulting arrangement. These forms shall be filed with the tenure initiating unit Chair or, in the case of an administrator, with the individual to whom he or she reports. All paid external consulting related to one's area of expertise requires prior approval. If a faculty member engages in paid external consulting without first obtaining approval or participates in activities that have been disapproved, a complaint may be filed against the faculty member under Faculty Rule 3335-5-04 (<http://trustees.osu.edu>).

All absences from duty of one full business day or more resulting from consulting, and all absences resulting from consulting that cause a missed commitment, such as a class, require the prior approval of the tenure initiating unit Chair or other unit administrator. The OSU Application for Leave Form 5171-A (Rev 4/99) is used for this purpose.

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

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

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

External professional activities are those that reflect normal and expected public service activities of faculty and that do not entail compensation beyond reimbursement for expenses or a nominal honorarium. These activities include service to governmental agencies and boards such as peer review panels and advisory bodies to other universities; presentations to either professional or public audiences in such forums as professional societies, libraries, and other universities; and peer review activities undertaken for either for-profit or nonprofit publishers.

In the Department of Educational Studies, faculty are required to declare all paid external work to the Chair. Such declaration shall account for External Consulting rules above, for Conflict of Interest, and shall indicate how the external work is accommodated outside of faculty duties.

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

The Department adheres to University policies on supplemental compensation.

In addition to financial conflicts of interest, faculty must disclose any conflicts of commitment that arise in relation to consulting or other work done for external entities. Further information about conflicts of commitment appears in the section on Faculty Duties and Responsibilities.

## **Grievance Procedures**

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

### ***Salary Grievances***

A faculty or staff member who believes that 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 file a more formal salary appeal (see the Office of Academic Affairs Policies and Procedures Handbook, <http://oaa.osu.edu/handbook.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/](http://www.hr.osu.edu/)).

### ***Faculty Misconduct***

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04 (<http://trustees.osu.edu>).

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

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05 (<http://trustees.osu.edu>).

### ***Sexual Misconduct***

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

### ***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.

### ***Faculty Complaints Regarding Students***

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 (<http://oaa.osu.edu/coam.html>) and <http://senate.osu.edu/committees/COAM/COAM.html>).

The Code of Student Conduct is Faculty Rule 3335-23 (<https://trustees.osu.edu/rules/code-of-student-conduct/>).

### **Graduate Advising and Assistantships**

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

Graduate advisees are accepted by individual faculty advisors as well as by the Department. Assignments are made according to the specialization interests of the student and the faculty member. Students have the right to change advisors, subject only to the consent of the new advisor. The Educational Studies Change of Advisor form shall not require the signature of the previous advisor, but advises the student that, as a matter of courtesy, the student should inform the previous advisor of the change.

Students are expected to have access to other Department faculty and to the Chair, in addition to their advisors and program professors. Faculty are expected to attend to the expeditious progress of students and to give special attention to the progress of minority students. Faculty are expected to mentor graduate students in research and to work with graduate students so that the students gain the experiences they will need to be competitive for jobs upon graduation.

Appointments and re-appointments of Department-funded Graduate Assistants are made by the Chair in consultation with the Program Chairs, subject to available funds, comparability of workload history, Department or program priority, and GA performance, as judged by faculty in the specialization area, research supervisor, or responsible Department officer. Final employment decision rests with the Department Chair.

Graduate Assistants are assigned to specific positions for their employment, not to people. For graduate teaching assistants, the load is two three-credit hour courses per semester. Graduate students employed as GRAs or GTAs should be engaged in either teaching or research-related work. Neither GRAs nor GTAs should be assigned clerical responsibilities as part of their normal loads.

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

Monitoring of GA eligibility and satisfactory degree progress is done by the advisor and reported annually to the Chair. An evaluation of each GRA or GTA's performance should be conducted

annually. Final authority rests jointly with the Graduate Studies Committee and the Dean of the Graduate School.

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

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

The typical period of appointment for GAs is September 1 of each year through May 31. Appointments of shorter duration are determined by the Chair. Availability of summer appointments is based on need and availability of funding. Offers for summer appointments will typically be made early in spring semester by the Chair.

Normally GAs performing satisfactorily may expect an appointment as delineated in the College's official policy.

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

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

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

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

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

Eric M. Anderman  
Department Chair  
May 2017