



THE OHIO STATE UNIVERSITY

COLLEGE OF FOOD, AGRICULTURAL,
AND ENVIRONMENTAL SCIENCES

Pattern of Administration

for

Department of Extension

College of Food, Agricultural, and Environmental Sciences

The Ohio State University

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I. Introduction

This document outlines the organization of the Department of Extension (the department) and describes the policies and procedures that guide departmental operations. This document is a supplement to the *Rules of the University Faculty* and other policies and procedures of the university to which the department and its faculty are subject. The *Rules of the University Faculty* policies and procedures, and changes in them, take precedence over this document.

This pattern of administration is subject to continued revision. It must be reviewed, and either revised or reaffirmed, on appointment or reappointment of the department chair (“chair”) (**Faculty Rule 3335-3-35**). Revisions may be made at any time as needed. Changes will be made in consultation with the department faculty through the use of current communication methods. All revisions, as well as periodic affirmation, are subject to approval by the college office and the Office of Academic Affairs. The department will post a current version of this document at <https://extension.osu.edu/policy-and-procedures-handbook/ii-administrative-and-program-resources>.

II. Department Mission

*We create **opportunities** for people to explore how **science-based knowledge** can **improve social, economic and environmental conditions**.*

Faculty of the department exemplify the outreach and engagement mission of Ohio State University Extension and The Ohio State University, as a 21st century model for outreach and engagement. Faculty within the department integrate teaching, research, and service to attain the outreach and engagement mission by working with partner colleges and the citizens of the state, nation, and world.

The primary audience of faculty located in county and state Extension offices is Ohio citizens participating in primarily non-credit educational programs or problem-solving activities as a part of the university’s land-grant mission. While located in CFAES, the department looks to engage the entire Ohio State community to develop partnerships that provide research and educational programming to address today’s diverse local needs and challenges.

III. Academic Rights and Responsibilities

The department affirms and adopts University policy on academic rights, responsibilities and processes for addressing concerns found on the Office of Academic Affairs website, <http://oaa.osu.edu/rightsandresponsibilities.html>.

IV. Faculty

A. Types of Faculty

The department “faculty” shall include persons appointed by the Board of Trustees with tenure-track, clinical, research, associated and emeritus titles as full- or part-time appointments, with or without salary, as defined in **Faculty Rule 3335-5-19**.

The department faculty includes:

1. Tenure-track or tenured faculty with titles of instructor, assistant professor, associate professor, or professor and serve on appointments totaling 50 percent or more service to the department; may vote on all matters of department governance.
2. Clinical faculty with titles of instructor of professional practice of Extension, assistant professor of professional practice of Extension, associate professor of professional practice of Extension, or professor of professional practice of Extension may vote on all matters of department governance except tenure-track appointment, promotion and tenure decisions.
3. Associated faculty including adjunct titles, visiting titles, and lecturer titles or those on less than a 50 percent appointment to the university.
4. Emeritus faculty persons who have served the university continuously as regular faculty for at least 10 consecutive years who, upon retirement, were recommended by the chair, the dean and the executive vice president and provost for emeritus status.

B. Faculty Roles and Responsibilities

Faculty roles and responsibilities are defined by the head of each TIU in accordance with university rules. Members of the faculty are expected to contribute to the instructional, funded research, scholarship, professional practice, extension, outreach, and administrative missions and roles of the department. It is neither expected nor considered desirable for all faculty members to make equivalent contributions to each of these missions. Faculty assignments are described in the initial letter of offer and updated during the annual review process based on departmental needs as well as faculty productivity and career development.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in Extension is provided in a separate document, "Appointments, Promotion, and Tenure Criteria and Procedures for the Department of Extension."

C. Faculty Meetings

The department chair shall convene a faculty meeting at least quarterly. The faculty meeting shall allow for discussion of issues pertinent to faculty, which includes but is not limited to: 1) providing and transmitting information on matters of departmental interest; 2) discussing and formulating policy initiatives and program changes and providing guidance and input on educational and programming decisions to the director of Extension; and 3) formally acting on policy and program recommendations. It is expected that faculty members will participate in all scheduled faculty meetings.

During autumn semester, the department chair in consultation with the Faculty Issues Oversight Committee will schedule faculty meetings for the following calendar year. The Faculty Issues Oversight Committee and the chair will identify the agenda for the meeting. The committee and the chair will solicit input for faculty meeting agendas from the faculty. Any member of the faculty may make a request to the chair for additional faculty meetings. The chair shall provide a minimum four-week notice of an additional

meeting.

Electronic mail will be the primary vehicle for communicating with faculty. Current technology media will be used for all meetings to allow faculty participation without travel to main campus.

Faculty voting, when necessary, will be conducted by written ballot either electronically or by mail sent to all department faculty. A vote will be determined by tally of the majority of votes received as indication of faculty guidance. If less than 50 percent of eligible faculty participate in a vote or where divisions in the faculty make consensus or formal approval impossible, the chair may implement a decision that the chair believes is in the best interest of the department while striving to balance active and meaningful involvement of the faculty with the chair's ultimate responsibility for the administration of the department.

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

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

V. Organization of Department Services and Staff

A. State Administrative Office

The department is supported by administrative staff, an operations unit, and a learning and organizational development unit.

B. County Extension Offices

Department faculty educators and Academic and Professional (A & P) Educators are located in one of 24 multi-county administrative areas which range from one to five counties. Program assignments for county educators are made by the associate dean and director of Extension and chair with input from county Extension advisory committees, county-based faculty, area leaders, and assistant directors. Area leaders provide administration for local county office operations including: fiscal, legislative and supervision of all county staff including faculty. Area leaders are reviewed and appointed annually. County Extension faculty, Extension field specialists, and campus-based Extension faculty are reviewed annually for their faculty performance by the Chair. A & P educators have the option to apply for a faculty position without a national search after attaining A & P educator level IV.

C. State Faculty

Faculty with state or field specialist assignments may be located in off-campus or campus locations with direct supervision by Extension assistant directors.

VI. Departmental Administration and Decision Making

A. Overview

The Department of Extension is a designated tenure-initiating unit within the College of Food, Agricultural, and Environmental Sciences operating under the broader umbrella of the Extension organization. The department chair for Extension provides leadership for departmental functions.

The Department of Extension is an academic unit within the college. Policy and program decisions for the OSU Extension organization are made by the associate dean and director of Extension in consultation with the Administrative Cabinet. Faculty input is sought in a number of ways using formal and informal communication approaches. The sections on committees and faculty meetings outline these more specifically.

The department chair has responsibility for faculty personnel appointments, leaves, the promotion and tenure process and activities of tenure-track faculty in the Department of Extension. The department chair provides leadership for handling personnel matters related to faculty issues and serves as a liaison with the Office of Academic Affairs.

B. Assistant Directors

The assistant directors are appointed by the associate dean and director of Extension. They coordinate educational programs among the various subject matter units on a statewide basis. They encourage and assist with the organization and implementation of Extension educational programs, including professional development training for Extension faculty and educational programs for Extension clientele. The assistant directors supervise faculty field specialists and campus-based specialists in their program areas. The assistant directors work closely with the department chair on annual faculty reviews and the promotion and tenure process.

VII. Department Administration

A. Chair

The department chair is appointed by the dean of the college subject to formal approval of the executive vice president and provost, president and Board of Trustees. Deans determine the terms of appointment. Chairs are normally appointed for a four-year term. Chairs are subject to regular review and may be removed before the end of their appointment. The views of faculty shall be given substantial weight in arriving at the decision to remove a chair from office. Under provisions of **Rule 3335-3-17** of the Administrative Code, the chair shall be eligible for reappointment. In selecting a chair, the president shall confer with the dean of the college. The dean in turn shall consult with the faculty of the department as well as other appropriate university officials.

In accordance with **Faculty Rule 3335-3-35** as modified for the Department, the duties of the department chair shall be to:

1. Have general administrative responsibility for the program, subject to the approval by the dean of the college.

2. Develop in consultation with the faculty a “Pattern of Administration” with specified minimum content. This “Pattern of Administration” shall be available to all present and prospective members of the department faculty. A copy is provided to the office of the dean of the college, and the office of the executive vice president and provost.
3. Prepare, after consultation with the faculty, and in accordance with the “Pattern of Administration,” a statement setting forth the criteria and procedures for appointments, promotions, dismissals, salary adjustment, promotion in rank and matters affecting the tenure of faculty. The Appointments, Promotion and Tenure document shall be made available to all present and prospective members of the department and a copy shall be deposited in the office of the dean of the college and the office of the executive vice president and provost. At the beginning of each four-year term of the chair, the members of the department, the office of the dean of the college and the office of the executive vice president and provost shall receive either a revision or a reaffirmation of the original statement.
4. Operate the business of the organization with efficiency and dispatch.
5. Institute a progressive outreach and engagement program, including research and educational initiatives.
6. Evaluate continuously instructional and administrative processes to support continuous improvement.
7. Evaluate faculty members annually in accordance with criteria approved by the board of trustees and subject to instruction from the executive vice president and provost, and also according to such supplemental criteria as may be set up by the department.
8. Inform faculty when they receive their annual review of their right to review their primary personnel file maintained by their tenure initiating unit and to place in that file a response to any evaluation, comment or other material contained in the file.
9. Recommend to the dean of the college after consultation with faculty representatives, appointments, promotions, dismissal and matters affecting tenure of members of the department faculty.
10. Encourage scholarship and educational needs assessments, impact documentation and research.
11. See that all faculty, regardless of location, are offered departmental privileges and responsibilities appropriate to their rank and contribute to maintaining a high level of morale.
12. See that adequate supervision and training are provided to members of the faculty who may profit by continual professional development.
13. Provide recommendations to the associate dean and director of Extension for the annual budget of the Extension organization.
14. Promote improvement of instruction through the use of the Extension Evaluation of Effective Teaching (EEET) instruments, peer evaluation of teaching letters, and impact documentation.

B. Associate Chairs

The department chair may appoint associate chairs to mentor and support field-based faculty by providing guidance in identifying professional development opportunities and developing annual plans of work.

C. Committees

The department values and encourages participation and communication with all faculty, and therefore works with committees that assist in providing leadership and input to the department. Described below are committees used to address programmatic and departmental issues.

1. *Faculty Issues Oversight Committee*

The committee shall include the department chair, department Faculty Council representatives (see section VII.D. below), department senators, and Senate committee members. The committee shall identify where issues or policy proposals and changes will affect department faculty and bring those issues for discussion before the faculty as a whole. Issues or policy may originate from Extension, CFAES, Ohio State or other entities. Additionally this committee shall develop department faculty meeting agendas with the department chair.

2. *Promotion and Tenure Committee*

The Promotion and Tenure Committee is responsible for appointment, re-appointment, promotion and tenure, and promotion reviews for tenure track faculty. The committee is also responsible for appointment, re-appointment and promotion reviews of professional practice faculty and courtesy appointments. In addition, the Committee serves as the Faculty Development Committee, which reviews faculty professional leave proposals and makes recommendations to the department chair. The terms of committee members, the make-up of the committee and the election process are detailed in the Appointments, Promotion and Tenure document.

3. *Ad Hoc Committees*

Ad hoc committees are formed to serve as search committees for faculty and program position searches or to address short-term departmental needs.

D. Representation on College Faculty Council

The College of Food, Agricultural, and Environmental Sciences Faculty Council serves as the principal faculty advisory group to the dean and as the primary agency for faculty governance in the college. Council membership is comprised of representatives from each of the TIU's in the college. Each representative serves a three-year term. CFAES Faculty Council bylaws specify who is eligible to serve. The department has five representatives, one from each of three geographic regions each comprised of three former Extension Education and Research Areas (EERAs), the state (campus and field specialist faculty) and an at-large position. The department uses the EERA-based geographic regions only for county faculty representation on faculty council, included as **Appendix A** of this document.

Selection of representatives will be by written ballot either electronically or by mail to all department faculty within the representative areas. The ballot will be comprised of all eligible department faculty in those representative areas. The rotation for county-based faculty representation is the East Region (Western Reserve, Crossroads, and Buckeye Hills EERAs) and West Region (Maumee Valley, Top of Ohio, and Miami Valley EERAs) expire in the same year; the Central Region (Erie Basin, Heart of Ohio, and Ohio Valley EERAs) in the following year; and in the final year the state and at-large terms expire.

VIII. Distribution of Faculty Duties and Responsibilities

The department chair is responsible for assuring that every faculty member has duties and responsibilities commensurate with his or her appointment and that workload is distributed equitably among faculty. Associate chairs provide oversight to this function. In making assignments, a balance is sought between the needs of the department and the preferences of the faculty member. County advisory committees provide input on needs for county faculty positions. Faculty duties and responsibilities occur without regard to semesters.

As a part of their curriculum vita, faculty develop a position description which is reviewed and discussed with their immediate supervisor and chair/associate chair as a part of the development of their plan of work and the annual review process. This review helps to assess that an appropriate balance of teaching, scholarly activity and service are maintained. Mentoring and counseling on an individualized basis are used when the average expected level of activity is not being maintained.

Faculty Rule 3335-3-35 requires that guidelines for equitable assignment and distribution of faculty duties and responsibilities be established. The Extension Appointments, Promotion and Tenure (APT) document outlines teaching, scholarly and service activity expectations for faculty for promotion and tenure. These guidelines and the highlights outlined below do not constitute a contractual obligation. Fluctuations in demands and resources for the Department of Extension and the individual circumstances of faculty members may warrant temporary deviations from the policy.

A full-time faculty member's primary professional commitment is to The 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 to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the OAA Faculty Conflict of Commitment policy at <http://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>

A. Tenure-track faculty

Instructional Activity

Extension programming is primarily non-formal and non-credit instruction. Extension programming is offered at times and locations convenient to clientele through workshops, seminars, field days, camps, youth educational programs, individualized instruction, web sites and printed materials. The department encourages reaching out to new audiences and expanding involvement of colleges across the campus in outreach and engagement to meet emerging issues. A growth in the diversity of audiences reached and the use of communication technology and distance education is expected. Extension faculty are often involved in teaching assignments on evenings and weekends. Extension faculty prepare an annual plan of work and report of results to document impact. These are used in assessing productivity. Breadth and depth of programming delivered and satisfaction of clientele are paramount. Faculty teaching contributions vary and typically account for 50 to 60 percent of their time depending on program needs and county expectations.

Scholarly Activity

Department faculty members are expected to identify an area of focus/specialization for their creative and scholarly works. Scholarly endeavors should be appropriate to the individual's training and expertise as well as the goals of Extension. The scholarship of discovery, application, transformation, or integration will be evident in faculty work. It is anticipated that approximately 25 percent of an individual's time may be focused on the area of specialization. A pattern of presentations and publications both for the public and peer review is expected of faculty in the Department of Extension as evidence of sharing work for review and use by peers and other professionals. Applied research, action research, needs assessments and in-depth program or impact evaluations are the types of scholarly activity most often identified by Extension faculty. All faculty are encouraged to engage in cost recovery and seek grants and contracts to support and supplement base budgets received from the county, state and federal legislatures. Research and scholarly contributions for faculty typically account for 20-30% their time.

Service Activity

Many faculty members voluntarily take on a variety of professional activities. All faculty are encouraged to become involved in service-related activities within the Department, college and university as well as professional organizations. Faculty located in county or non-campus based offices often place a priority on networking and collaboration with local agencies to increase programming visibility. Service activities should not supersede instructional and scholarly priorities. Service contributions for faculty typically account for 10-30% of their time with higher percentages usually associated with supervisory responsibilities.

Special Assignments

Special assignments (SA) are normally one semester in length and are designed to provide a faculty member time away from teaching and some other responsibilities in order to concentrate effort on research. SAs are usually, but not necessarily, provided to faculty to develop a new research skill, initiate a new project, or complete an ongoing project. SAs of shorter duration may be provided for such purposes as facilitating travel related to research that is less than a semester in duration but more than a week or two provided classroom teaching is not disrupted. For more information go to: http://oaa.osu.edu/sites/default/files/links_files/specialassignment_0.pdf

Untenured faculty will normally be provided a 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 their potential benefit to the Department, and the need to assure that sufficient faculty are always present to carry out Department work.

Faculty members who desire an SA should discuss the matter with the immediate supervisor during their annual evaluation or as soon thereafter as possible. The immediate supervisor will indicate whether submission of a full proposal articulating the purpose and nature of the SA is appropriate. The Department Chair will normally announce decisions regarding SAs for the next academic year no later than June 30 of the previous academic year, but retains the option of making decisions regarding proposals at other times when circumstances warrant such flexibility.

B. Professional Practice (i.e. Clinical) Faculty

Professional practice faculty members are expected to contribute to the university's mission via teaching and service, and to a lesser extent scholarship. Service expectations are similar to those for the tenure-track.

All professional practice faculty are expected to contribute to the department's education and outreach programs, engage with industry and other stakeholders, identify internships and field experiences for students in non-formal settings, and secure extramural funding to support education and training programs.

C. Associated Faculty

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

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

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

Parental Modification of Duties

The Department of Extension strives to be a family-friendly unit in its efforts to recruit and retain high-quality faculty members. To this end, the department is committed to adhering to the College of Food, Agricultural, and Environmental Science's guidelines on parental modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth or adoption. See the **College Pattern of Administration** for details.

The faculty member requesting the modification of duties for childbirth or 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.

IX. 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 subdisciplines and productivity and grouping staff functions to maximize efficiency. The

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

X. Leaves and Absences

The department follows university policies related to leaves and absences which are outlined in the Office of Academic Affairs Policies and Procedures Handbook located at <https://oaa.osu.edu/policies-and-procedures-handbook>.

A. Discretionary Absence

Faculty are expected to complete an Application for Leave form well in advance of a planned absence (e.g. as for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the department chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular semester is substantial. Faculty rules require that the Office of Academic Affairs approve any discretionary absence of 10 or more consecutive business days (see **Faculty Rule 3335-5-08**) and must be requested on the Application for Leave form.

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 let the immediate supervisor know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). See Ohio State's Office of Human Resources (OHR) Policy 6.27 for details: <http://hr.osu.edu/policy/policy627.pdf>

C. Unpaid Leaves of Absence

A faculty member may request an unpaid leave of absence for personal or professional reasons. Professional reasons would include an opportunity to accept a visiting appointment at another institution. A faculty member desiring an unpaid leave of absence should submit a written request for the absence as far in advance as possible of the time for which the leave is desired. Approval will be based on, but not limited to, the nature of the request, the extent to which the faculty member's responsibilities can be covered or deferred during the proposed absence, and the positive or negative impact on the department of the proposed absence. Unpaid leaves of absence require the approval of the dean, Office of Academic Affairs, and Board of Trustees. For more information, go to <http://hr.osu.edu/policy/policy645.pdf>.

D. Faculty Professional Leave

A Faculty Professional Leave (FPL) constitutes a more formal departure from regular academic duties than a special assignment and may be one or two semesters in length for nine-month faculty and one, two, or three semesters in length for 12-month

faculty where the third semester is the summer term plus May session. FPLs involve salary reductions and other considerations established by the Ohio legislature and university Board of Trustees, and faculty considering an FPL should fully acquaint themselves with these policies before applying for leave. See the OAA Policy on **Faculty Professional Leave**.

Faculty members who desire an FPL should discuss the matter with their immediate supervisor during their annual evaluation or as soon thereafter as possible. The department chair will indicate whether submission of a full proposal articulating the purpose and nature of the FPL is appropriate. Proposals will be reviewed by the department Faculty Development Committee which will provide a recommendation to the chair. The department Promotion and Tenure Committee will serve as the Faculty Development Committee. Proposals will be judged on the merits of the proposed work, and the perceived benefit to the faculty member and to the faculty member's program area. Because FPL proposals must be approved by the dean, Office of Academic Affairs, and Board of Trustees before they may be implemented, faculty should submit FPL proposals for a particular year no later than the end of autumn semester of the preceding year, except when the development of an unexpected opportunity precludes such timing.

The chair's recommendation to the dean regarding an FPL proposal will be based on the recommendations of the department Faculty Development Committee which will consider the quality of the proposal, its potential benefit to the Department and to the faculty member, and the ability of the department to accommodate the leave at the time requested.

XI. Supplemental Compensation and Paid External Consulting Activity

The department has established *Guidelines for Consulting and Conflict of Interest* following review by the appropriate university bodies. It clarifies and supplements college and university policies. In addition, effective March 2000, Extension faculty may request supplemental compensation as an alternative to release time when teaching on a regional campus. The college's framework for collaboration with the regional campuses provides guidelines about this. (See **Appendix D**)

Information on faculty supplemental compensation is presented in the OAA Policy on Faculty Compensation, available at <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*.

This department adheres to these policies in every respect. In particular, this department expects faculty members to carry out the duties associated with their primary appointment with the university at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation must be approved by the department chair, regardless of the source of compensation. External consulting must also be approved. Approval will be contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the department. In addition, it is university policy that faculty

may not spend more than one business day per week on supplementally compensated activities and external consulting combined.

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

OAA also requires colleges and departments to determine a process for a faculty member to request permission to use a textbook or other material that is authored by that faculty member and the sale of which results in a royalty being paid to him or her.

XII. Financial Conflicts of Interest

Information on faculty financial conflicts of interest is presented in the university's *Policy on Faculty Financial Conflict of Interest*:

<https://oaa.osu.edu/sites/default/files/uploads/policies/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 or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

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

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

XIII. Grievance Procedures

The department's grievance procedures are supplemental to those established by the college and university for faculty and staff. In addition, the USDA's National Institute of Food and Agriculture has established policies for handling concerns of clientele and employees under Affirmative Action/Equal Employment Opportunity (AA/EEO) guidelines. The department has AA/EEO counselors available throughout the state.

In all instances, the department will strive, through the use of informal consultation, to resolve complaints to the satisfaction of all. Individuals with concerns work through immediate supervisors in resolving complaints and issues. The chair/associate chair provides the first level of review. The human resources generalist, director of operations and associate chair, and associate dean and director of Extension assist in resolving complaints which are not resolved within the local unit.

Human resources generalists assigned to the department have access to individuals with training and experience in counseling, coaching and conflict resolution. These professionals assist in the resolution of issues and concerns.

If complaints or allegations cannot be resolved, the formal procedures outlined in **Faculty Rule 3335-5-04** will be followed. For staff, formal grievance procedures are detailed at <https://hr.osu.edu/wp-content/uploads/policy820.pdf>

The university policies on grievance procedures are outlined in the Office of Academic Affairs **Policies and Procedures Handbook**, Chapter 1, section 1.14. The university recommends the following web addresses for grievance procedures:

OHR Policy 1.10, Nondiscrimination policy
<https://hr.osu.edu/public/documents/policy/policy110.pdf>

OHR Policy 1.15, Sexual Misconduct policy
<https://hr.osu.edu/public/documents/policy/policy115.pdf>

Anonymous reporting line
<https://secure.ethicspoint.com/domain/media/en/gui/7689/index.html>

Hearing procedures for complaints against faculty, Faculty Rule 3335-5-04
<https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>

Code of Student Conduct
<https://trustees.osu.edu/rules/code-of-student-conduct/>

Salary Grievances

A faculty member who believes that his or her salary is inappropriately low should discuss the matter with the appropriate associate chair. The faculty member should provide documentation to support the complaint. Faculty members who are not satisfied with the outcome of the discussion with the associate chair should contact the human resources generalist, and then the department chair. If they wish to pursue the matter, they may be eligible to file a more formal salary equity review request. The process is outlined in Office of Academic Affairs Policies and Procedures Handbook, <http://oaa.osu.edu/assets/files/documents/1.3HBAppeals.pdf>

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

Faculty Misconduct

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04, <https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>.

Faculty Promotion and Tenure Appeals

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05, <https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>.

Sexual Misconduct

The university's policy and procedures related to sexual misconduct are set forth in OHR Policy 1.15,

<http://hr.osu.edu/public/documents/policy/policy115.pdf?t=2015120114414>

Student Complaints

The department works occasionally with undergraduate and graduate students through internships, special study assignments or through volunteer opportunities. Complaint processes are defined at <https://oaa.osu.edu/complaint-and-grievance-systems>.

Complaints from participants in outreach programs should be directed to area leaders or appropriate administration positions.

Appendix A
 Extension Faculty Council Regions

Extension Faculty Council Regions



Appendix B
Guidelines for Conflict of Interest
Department of Extension

Definition

For purposes of these guidelines, university policy states: 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, staff member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

Guidelines

No faculty or staff should jeopardize the objective, and scientific-based principles of Extension's programs through professional activities including private consulting, business activities or work outside the university. Any compromise (actual or perceived) of those principles could damage the integrity of Extension's mission, jeopardize funding, diminish the trust of our clientele, and create a conflict of interest. The Ohio State University has established conflict of interest policies for faculty and staff. These can be found at the following websites:

<http://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>

<http://hr.osu.edu/policy/policy130.pdf>

Examples of situations that create a conflict of interest and are prohibited by Extension:

1. Serving as a voluntary (paid) expert witness in a civil or criminal case. This is different from serving as a fact witness as a result of a subpoena.
2. Holding an elected partisan government position.
3. Any activity (paid or unpaid) that creates the perception that Extension endorses the products or services of any organization or business.
4. Use of one's professional expertise to provide services that compete with services provided by a unit in the university such as teaching or developing curriculum for another university.
5. Accepting personal compensation for any educational or professional service and concurrently charging Extension for your time, mileage or other expenses.

The examples are not exhaustive, and they are provided as illustrations. Conflict of interest issues must be addressed by the supervisor and appropriate administrators.

Appendix C Guidelines for Work Outside the University

Department of Extension

Work outside the university may not create a conflict of interest or compete with services provided by the university.

Rationale

Work outside the University, which includes consulting activities, is intended to benefit all parties involved: Ohio State gains recognition outside the university community, the people of Ohio benefit from the dissemination of knowledge and technology, and the faculty/staff member gains experience and recognition.

Ohio State University Extension delivers educational programs and services to Ohio citizens, businesses and communities. Extension is funded by state, county, and federal taxes and has the responsibility to provide educational programs and services to clientele beyond the boundaries of The Ohio State University campuses in a variety of settings. Activities which for university employees in other departments might constitute appropriate consulting opportunities, for Extension employees are considered part of Extension's mandate. Therefore, Extension employees are not permitted to accept payment from any persons, firms or governmental agencies for providing services that would normally be considered part of their Extension duties.

To meet the diverse needs of Extension clientele in Ohio, it is often necessary for faculty to conduct programs during evening and weekend hours as part of their Extension responsibilities. Therefore, the work day and work week are fluid concepts for Extension faculty.

Guidelines for Work Outside the University

University policy permits faculty to devote up to one business day per week to consulting activities and to be compensated for that activity, with appropriate approvals. Because of Ohio State's land-grant mission, Extension faculty consulting opportunities are more limited than other university employees. Therefore, the department has determined it will exercise its option to implement guidelines more restrictive than the University's. As a general rule, Department of Extension faculty may not engage in consulting activities of any kind unless they obtain prior written approval from the department chair, director of Extension, and dean and vice president of the college.

Approval will be given only if the following conditions are met:

1. Services are provided outside Ohio to non-Ohio firms or persons.
2. In Ohio, the faculty member can clearly demonstrate that services to be provided are not within the realm of current or potential Extension programming and do not compete with The Ohio State University and that they benefit Ohio State as well.

When any consulting or outside employment interferes with performing expected Extension job responsibilities, this is considered a conflict of commitment and must be addressed by the chair/associate chair and appropriate administrators.

Procedures

A faculty member who requests approval for receiving compensation for work outside the university must document in writing how the proposed activity satisfies the conditions of:

1. Services provided outside of Ohio to non-Ohio firms or persons
2. Services, if provided within Ohio are not within the realm of current or potential Extension programming and do not compete with The Ohio State University and that they benefit Ohio State.

Prior approval is required. The appropriate university form must be completed. Each non-continuing activity during a fiscal year requires a separate form. An approved ongoing activity that continues into another fiscal year requires a new form.

If there is doubt about the appropriateness of any paid employment, the faculty member should discuss the issue with chair/associate chair.

Faculty may not use an Extension job title, letterhead, facilities, equipment, and other resources to identify or support external consulting opportunities.

Approvals required for consulting:

County/area/faculty: associate chair, department chair, vice president of CFAES

State faculty: department chair, director of extension, vice president of CFAES

Policy on Paid External Consulting

<http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>

Appendix D
Procedure for Approving Faculty to Teach Credit Courses for Ohio State Regional Campuses

Department of Extension

1. All requests for instruction must originate with the regional campus associate dean who will then contact the associate dean, Academic Programs with such requests.
2. The associate dean, Academic Programs asks the chair of the Department of Extension to check with appropriate associate chair or unit head and discuss if the Department of Extension endorses consideration of the request.
3. If endorsement is provided by the Department of Extension, the associate dean, Academic Programs asks for vita; submits to the academic department which controls the course(s) in question. The department makes the determination.
4. If the department approves, the associate dean, Academic Programs notifies applicant and chair of Department of Extension of approval, as well as the regional campus dean.
5. Actual approval to teach the course must be negotiated between the Extension faculty and the director of operations/associate chair or unit head and the chair of the Department of Extension each time, (i.e. semester of offering) to be sure it fits with assigned duties for that period of time. It is the responsibility of the Extension faculty to be sure all appropriate Extension administrators of the Department of Extension are appropriately involved each time.
6. As a general rule, Extension faculty will not receive direct pay. The Department of Extension will negotiate cost with regional campus. Funds will be transferred to the appropriate Extension unit. The chair of the Department of Extension may negotiate a rate of reimbursement for release time sufficient to cover travel or may have the regional campus reimburse travel directly to the faculty member.
7. Effective March 2000, Extension faculty may request supplemental compensation as an alternative to release time. A case must be made that duties are substantially outside the scope or reasonable potential scope of the individual's position and that release time is not a feasible option. Supplemental compensation is intended for short-term arrangements, not as an ongoing compensation strategy. For ongoing situations, release time or similar options are preferred. Approval for internal supplemental compensation rests with the Department of Extension and the college dean.

NOTE: Similar arrangements can be considered for Stone Lab and the Agricultural Technical Institute.