

# Department of Neuroscience

## Patterns of Administration

Last Approved by the Faculty: March 19, 2019; OAA Approved 7/18/2019

### Revised:

- October 2003
- May 4, 2005
- May 23, 2007
- Sept 14, 2007
- Dec 5, 2013
- Feb 25, 2014
- Sept 13, 2017
- March 19, 2019

**Patterns of Administration  
Department of Neuroscience**

**Table of Contents**

**Introduction** .....4

**Department Mission**.....4

**Academic Rights and Responsibilities** .....5

**Faculty** .....5

*Research faculty*.....5

*Emeritus faculty*.....6

*Graduate faculty*.....6

*Associated faculty* .....6

**Organization of Departmental Services and Staff**.....7

**Presumption Favoring Majority Faculty Rule**.....7

**Department Chair**.....7

**Faculty Meetings**.....9

**Department of Neuroscience Committees**.....10

*Executive and Finance Committee*.....10

*Advisory Appointment, Promotion & Tenure (Advisory APT) Committee:* .....10

*Education and Curriculum Committee*.....11

*Awards Committee* .....11

*Junior Faculty Mentoring Committee*.....12

*Mid-Career Mentoring Committees* .....12

*Space Committee*.....12

*Faculty Council*.....13

**Guidelines for Assignment and Retention of Research Space**.....13

**Guidelines and Definitions**.....13

*Office*.....13

*Research Space*.....13

*Funding* .....13

*Criteria for assigning/re-assigning research space*.....14

*Appeals* .....15

**Distribution of Faculty Duties and Responsibilities** .....15

*Instructional activity*.....16

<i>Scholarly activity</i> .....	16
<i>Service activity</i> .....	16
<b>Guidelines on Appointments to Sponsored Projects</b> .....	17
<b>Special Assignments</b> .....	17
<b>Course Offerings and Teaching Schedules</b> .....	17
<b>Allocation of Department Resources</b> .....	18
<i>Space</i> .....	18
<i>Funds</i> .....	18
<i>Allocation</i> .....	18
<b>Leaves and Absences</b> .....	19
<i>Discretionary Absence</i> .....	19
<i>Absence for Medical Reasons</i> .....	19
<i>Unpaid Leaves of Absence</i> .....	19
<i>Faculty Professional Leave</i> .....	19
<b>Supplemental Compensation and Paid External Consulting</b> .....	20
<b>Financial Conflict of Interest and Faculty Conflict of Commitment</b> .....	20
<b>Grievance Procedures</b> .....	21
<i>Salary Grievances</i> .....	21
<i>Faculty Misconduct</i> .....	21
<i>Faculty Promotion and Tenure Appeals</i> .....	21
<i>Sexual Misconduct</i> .....	21
<i>Student Complaints</i> .....	21
<i>Code of Student Conduct</i> .....	22
<i>Professional Student Honor Code</i> .....	22

## **Introduction**

This document provides a brief description of the Department of Neuroscience (or “the department”) and a description of its policies and procedures. It supplements the Rules of the University Faculty, and other policies, procedures or guidelines of the University to which the department and its faculty are subject. The faculty rules can be found at: <https://trustees.osu.edu/bylaws-and-rules/faculty-rules>. The current policies and procedure handbook can be found at: <https://oaa.osu.edu/policies-and-procedures-handbook>. 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 and are subject to review and voting by faculty as outlined in this document. All revisions, as well as periodic reaffirmation, are subject to approval by the college office and the Office of Academic Affairs (OAA).

## **Department Mission**

The mission of the Department of Neuroscience is to strive for excellence in:

1. The conduct of research in basic and applied neuroscience, for the purposes of understanding basic biological processes as well as the mechanisms underlying disease;
2. The training of undergraduate, graduate, post-graduate, and professional students in the discipline of neuroscience; and
3. The provision of professional service for the general benefit of the life and health science communities and society.

The research mission of the department is to engage in basic, translational, and/or applied research that will generate new knowledge or applications. All faculty will be responsible for the funding of their research programs through grant support, or other mechanisms, and will disseminate knowledge acquired from their research through timely publication and other scholarly endeavors including technology transfer. An important part of the research mission of the department includes the participation of undergraduate, graduate, post-graduate, and professional students in the conduct of research.

The educational mission is to teach undergraduate, graduate, post-graduate, and professional students the basic and applied aspects of neuroscience. The graduate education mission encompasses research training of Ph.D. students. An important part of the educational mission of the department is the instruction of undergraduate, graduate, post-graduate, and professional students in the conduct and methodology of research to prepare the students for careers in contemporary biomedical sciences.

The service mission is to disseminate knowledge and professional expertise to the biomedical science community and general public. Service includes administrative and committee activities in the department, college and university. Public service includes the provision of professional expertise to public and private entities beyond the university.

## **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 at the OAA website at: <https://oaa.osu.edu/rightsandresponsibilities.html>.

## **Faculty**

Faculty Rule [3335-5-19](#) defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment.

A voting member of the department faculty is defined as any person on a tenure-track or research appointment with an academic rank of Instructor, Assistant Professor, Associate Professor or Professor having a minimum of a 50% appointment in the Department of Neuroscience. Also included as members of the department faculty are persons who meet these criteria, but are absent from the department on professional leave or extramural visits. Members of the faculty shall have the academic prerogatives set forth in Rules [3335-1-04-\(B\)](#) and [3335-5-14](#) of Statutes, Bylaws and Rules of The Ohio State University. Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in the Department of Neuroscience is provided in the departmental Appointments, Promotion and Tenure (APT) Document.

**Research faculty** appointments are fixed-term contracts that do not entail tenure. Research faculty members are researchers engaged in scholarly activity related to the mission and goals of the Department of Neuroscience. Research expectations are similar to those for the tenure-track, albeit proportionally greater since 100% of effort for research faculty members is devoted to research. Specific expectations are spelled out in the letter of offer. Research faculty can comprise no more than 33% of the number of tenure-track faculty in the Department of Neuroscience. Research faculty shall not vote on issues related to promotion and tenure or on curricular issues and shall not be elected to serve on the Advisory Promotion and Tenure Committee. No more than one research faculty member shall be elected or appointed to any departmental committee. In accord with Faculty Rule [3335-7-34](#), a research faculty member may participate in limited educational activities; however, any such activities must be approved by the department Chair. Under no circumstances may a member of the research faculty be continuously engaged over an extended period of time in the same instructional activities as tenure-track faculty.

Joint and courtesy appointees, associated faculty, emeritus faculty and individuals appointed as research scientists, are considered valuable members of

the department faculty and are encouraged to participate in a non-voting capacity in all departmental meetings and activities, excluding matters related to promotion and tenure.

**Emeritus faculty:** Full-time tenure-track, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service. They must be recommended by the Chair, the Dean and the Executive Vice President and Provost for emeritus status. Emeritus faculty are invited to participate in discussions on non-personnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter.

The department defines **courtesy appointees** as faculty members with primary appointments in other departments, who have credentials and/or research interests compatible with the disciplines of neuroscience. Criteria and procedures for courtesy appointments are described in the APT Document.

It is possible for some departmental faculty members to have paid **joint appointments** with other departments and/or centers and institutes; however, the department is the tenure-initiating unit only if the faculty member has at least a 50% (.50 FTE) appointment. It is possible for a faculty member to be a voting member of two departments (with .50 FTE appointments in each). However, in these cases, the primary department of record will be the tenure-initiating unit and will provide the majority of support for the joint appointee as outlined in the letter of offer and accompanying memorandum of understanding.

**Graduate faculty** are defined as research or tenure-track faculty with the rank of Assistant Professor or above that have been appointed as category M or category P graduate faculty in a graduate program at The Ohio State University. Qualifications and responsibilities of category M and category P faculty are as described in the graduate school handbook found at <https://gradsch.osu.edu/handbook> and also in the handbooks from the individual graduate programs.

**Associated faculty** are persons with clinical practice titles, adjunct titles, visiting titles, instructor or lecturer titles; also Professors, Associate Professors, Assistant Professors, and Lecturers who serve on appointments totaling <50% service to the University. Persons with tenure-track, clinical, or research faculty titles may not hold associated titles. Persons holding associated titles are not eligible for tenure and may not participate in the promotion and tenure reviews of tenure-track, clinical, or research faculty. Persons with associated titles are permitted to participate in department governance, if approved by a majority vote of the tenure-track faculty. Associated faculty appointments may be made for a maximum of three consecutive years and, with the exception of visiting titles, may be renewed. 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.

## **Organization of Departmental Services and Staff**

Services and staff of the Department of Neuroscience, at the current time, consist of a Department Administrator, an Administrative Assistant and Shared Services in the College of Medicine (CoM).

Administrative services are under the direction of the Chair with day-to-day management by the Department Administrator. Services provided to the faculty include personnel management, submitting supply and equipment purchase orders, facilitating equipment repair, laboratory setup or remodeling and help as a liason between the Department and the CoM Shared Services. Specific areas where Department services may become involved include helping to resolve problems or requests related to personnel, reimbursements, vacation and sick leave and post-award grant management. It is the responsibility of the faculty member, not department staff, to coordinate the logistics and supervision of routine laboratory administration and operations (e.g., lab protocols, EHS, IACUC, follow-up on orders placed).

## **Presumption Favoring Majority Faculty Rule**

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

A vote of the majority of the faculty will be required, in general, to decide matters that are covered by the Patterns of Administration. The faculty may delegate, to a committee and/or the Chair, its authority to resolve an issue that would normally be decided by majority vote. In these cases, delegation of authority shall be accomplished by majority vote in a properly announced meeting of the faculty.

Operational efficiency requires that the Chair exercise a degree of autonomy in establishing and managing administrative processes. Therefore, the Chair may find it necessary to depart from the decision of the majority of the faculty on a matter covered by the Patterns of Administration. When this occurs, reasons for the departure from the majority decision must be communicated to the faculty. When possible, a statement of reasons shall be provided before the departure occurs. The communication may be in writing, with an opportunity provided for faculty comment, or the communication may take place at a properly announced meeting of the faculty as a whole.

## **Department Chair**

The primary responsibilities of the Chair are set forth in Faculty Rule [3335-3-35](#). This rule requires the Chair to develop, in consultation with the faculty, a Patterns of Administration (POA) document with specified minimum content. The rule,

along with Faculty Rule [3335-6](#), also requires the Chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to appointment, promotion and tenure (the Appointments, Promotion and Tenure (APT) document).

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 the POA, subject when relevant to the approval of the Dean, Office of Academic Affairs, and Board of Trustees.

The Chair may appoint one or more Vice Chairs to assist with administrative and decision-making duties and to serve as acting Chair when the Chair is unavailable. The Vice Chair is a member of the departmental Executive and Finance Committee (see below). The Vice Chair is re-appointed on a yearly basis by the Chair. Currently, there are two Vice Chairs – Vice Chair of Academic Affairs and Vice Chair of Research.

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

- To have general administrative responsibility for department programs, subject to the approval of the Dean of the college, and to conduct the business of the department efficiently. This broad responsibility includes the acquisition and management of funds and the hiring and supervision of faculty and staff.
- To plan with the members of the faculty and the Dean of the college a progressive program; to encourage research and educational investigations.
- To evaluate and improve instructional and administrative processes on an ongoing basis; to promote improvement of instruction by reviewing the written evaluations by students of a course and the instructors, and periodic course review by the faculty.
- To evaluate faculty members annually in accordance with both University and established criteria within the department; to inform faculty members when they receive their annual review of their right to review their primary personnel file maintained by the department and to place in that file a response to any evaluation, comment, or other material contained in the file.
- To recommend appointments, promotions, dismissals, and matters affecting the tenure of members of the department faculty to the Dean of the college, in accordance with procedures set forth in Faculty Rule [3335-6](#) and this department's APT document.
- To see that all faculty members, regardless of their assigned location, are offered the departmental privileges and responsibilities appropriate to their rank, and in general to lead in maintaining a high level of morale.



- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.
- To prepare, after consultation with the Executive and Finance Committee, annual budget recommendations for the consideration of the Dean of the college.
- To assign research, office, and administrative space in accordance with College of Medicine and department policies, with the aim of facilitating high quality research.

## **Faculty Meetings**

*Purpose, Frequency and Attendance:* Faculty meetings are where the normal business of the department take place. 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.

Faculty meetings will take place regularly throughout the year with frequency as often as monthly but not less often than once per academic term. Faculty will be provided with a schedule of department faculty meetings at the beginning of each academic term. Attendance and participation in discussion (but not voting) at faculty meetings is expected and will be open to all departmental faculty, including associated faculty and research scientists.

*Agenda:* A call for agenda items and completed agenda will be delivered to faculty by e-mail before a scheduled meeting. Reasonable efforts will be made to call for agenda items at least three days before the meeting, and to distribute the agenda by e-mail a day before the meeting. A meeting of the department faculty will also be scheduled on written request of 25% of the department regular faculty. The Chair will make reasonable efforts to have the meeting take place within one week of receipt of the request. When possible, the Chair will have minutes of the previous faculty meeting distributed to faculty by e-mail within three days of the next scheduled meeting. These minutes may be amended at the next faculty meeting by a simple majority vote of the faculty who were present at the meeting covered by the minutes.

*Voting:* Eligibility to vote at faculty meetings shall be limited to tenure-track and research faculty with primary appointments of 50% or more in the department; one exception is that research faculty may not vote on curricular or personnel issues related to promotion and tenure of tenure-track faculty. A quorum shall consist of 60% of the tenure-track and research faculty on duty at the time of the meeting, including the Chair. In the absence of a quorum, discussions, straw

votes, recording of minutes, etc. may proceed, but no binding votes shall take place. The Chair shall vote only to break a tie.

*Special faculty meetings:* For urgent issues that cannot wait or be handled at regularly scheduled faculty meetings, the department Chair may call special meetings. For these meetings, the agenda will normally be limited to a single issue. Attendance and a disseminated agenda and meeting minutes may be limited to departmental faculty. All efforts will be made to give notice of at least two working days for special meetings. All other meeting requirements as described above (i.e., minutes, quorum, binding votes, etc.) shall apply. If a binding vote is urgent, a subsequent special meeting may be scheduled after a 24h delay.

### **Department of Neuroscience Committees**

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

***Executive and Finance Committee:*** This committee is composed of the department Chair, Vice-Chair(s) and select departmental faculty with a primary TIU appointment in the Department of Neuroscience. The term of appointment is for three years and is renewable. The department Chair appoints the members and also Chairs the committee. The Chair may invite emeritus professors to participate on the committee. This committee meets periodically for updates on major department, college or university initiatives, and to review departmental finances. The committee advises the Chair on all matters, including new initiatives, major equipment requests, strategic planning, and other major expenditures.

***Advisory Appointment, Promotion & Tenure (Advisory APT) Committee:*** This committee will consist of all tenure-track Professors, who are appointed for as long as they are a full time member of the Department. The department Chair will appoint the Chair of this committee. The term of appointment as Chair is for four years and is renewable.

The duties of the Advisory APT Committee include:

- Review all Assistant and Associate Professors on an annual basis then provide a written review of faculty accomplishments and/or areas requiring improvement for transmittal to the department Chair. This letter becomes a part of the permanent file and dossier of the faculty member.
- A Procedural Oversight Designee (POD) will be selected by the Advisory APT committee Chair from among the committee members to review a candidate's dossier for accuracy (e.g., proper formatting, check reference lists, etc.) and also to ensure that a balanced discussion, including both pros

and cons of a candidate's dossier, occurs during the formal review process involving all eligible faculty (see below).

- Coordinate peer reviews of teaching.
- Serve in a screening capacity for faculty who request a non-mandatory promotion review to determine whether their accomplishments warrant such a review.
- Advise the department Chair on new appointments.
- The Advisory APT committee does not vote on the suitability of candidates for promotion and tenure, rather, this committee provides the above listed services then ultimately presents the case for promotion and tenure for each faculty candidate, pro and con, to the body of *eligible faculty*. **Eligible faculty** are tenured or tenure-eligible faculty members in the department with a higher rank than the individual under consideration for promotion and/or tenure. Research faculty are included in the eligible faculty, as outlined in the *Appointment-Criteria* section of the Department of Neuroscience APT document. A final vote of the eligible faculty will be forwarded to the department Chair and College APT Committee.

**Education and Curriculum Committee:** This committee provides advice to the Chair and the department on issues related to graduate, medical, and undergraduate education. Decisions on the implementation of new courses or discontinuance of current offerings, methods of teaching evaluation, and departmental interactions with graduate programs, undergraduate programs, and medical education programs are discussed here prior to full faculty votes. This committee is appointed by the Chair, and consists of three to five members, including faculty members with responsibilities in medical, undergraduate and/or graduate education and the Vice Chair of Academic Affairs who serves as Chair of the committee. This committee's term is at the discretion of the department Chair.

**Awards Committee:** This committee identifies award opportunities, determines department nominees and oversees the submission process for local, regional, national, and international awards. The Vice Chair of Academic Affairs will be a permanent member of this committee and will Chair this committee. The Department Administrator will serve as an administrative and informational resource to the committee. The Chair will appoint at least one and no more than two additional faculty members to serve a three year-term. Terms are renewable and are at the discretion of the Chair.

The duties of the Awards Committee include:

- With the assistance of the Chair and the *Coordinator of Scholarly Awards and Prizes* in the Office of Research, identify University, regional, national and international award programs for department faculty, staff and trainees. The committee will identify nominees and also request recommendations from faculty, staff and trainees.

- Prepare nomination materials on a regular basis.
- This committee also serves to advise the Chair on faculty teaching awards and other incentives to enhance and reward teaching/educational and research excellence.

***Junior Faculty Mentoring Committee:*** Each faculty member that is newly appointed to the tenure-track or research faculty as an Assistant Professor will be assigned by the department Chair, in consultation with the faculty member, a mentoring committee consisting of at least two senior tenure-track or Research faculty members. Mentors will support the faculty member in adjusting to the University and will provide advice to their mentee on matters related to promotion and tenure and career development. Further, they will provide peer evaluation of teaching on an annual basis. The Mentoring Committee may meet informally as needed, but a mandatory formal meeting is required at least once each year in Oct-Nov. A key deliverable from that meeting will be a written report of key recommendations made by the Mentoring Committee. The mentee should read and sign the letter, acknowledge agreement with the report and/or add additional comments as needed. This report will be submitted to the department APT Committee for their consideration during the discussion of the candidate during the annual APT Committee meeting (in Dec-Feb prior to the annual review meeting with the Chair). This letter will become part of the junior faculty's permanent file. One member of the Mentoring Committee should be available (in person or via phone) during the time of the schedule APT review to answer any clarifying questions.

***Mid-Career Mentoring Committees:*** Encouraging and supporting mid-career professional development is an important activity and should be encouraged for all Associate Professors. Each member of the faculty who has reached the rank of Associate Professor shall form a peer advisory committee that includes two or three colleagues from within and/or outside of the department. The purpose of this group is to advise the faculty member in creating a long-range plan for professional development and to provide feedback on immediate and long-term issues. The group should meet at least one time per year to discuss progress in professional development. No reports need to be generated but the faculty member should inform the Chair when the advisory committee is formed and it is recommended that they hold their committee meeting in Oct-Nov so that if any written reports are generated, they can be made available to the APT committee prior to their annual meeting (in Dec-Feb).

***Space Committee:*** The space committee will be appointed by the Chair and will consist of five members, four of which are appointed to staggered three-year terms. The fifth member will be the Vice Chair of Research who will serve as a permanent member of this committee and will Chair the committee. The space committee will serve in an advisory capacity to the department Chair by annually updating funding and space calculations for each faculty member and then will communicate these data to all faculty. These reports will be used to guide

assignment and retention of research space according to the space policy (see below).

**Faculty Council:** Every 3 years, the department faculty will elect a regular and alternate member to serve as the department representative on the College Faculty Council.

The department Chair, on an *ad hoc* basis, may form other committees. A common example is a faculty search committee associated with each new hire.

## **Guidelines for Assignment and Retention of Research Space**

**Purpose:** The purpose of these guidelines is to ensure maximal and efficient use of all new and existing Department of Neuroscience space. The department has the responsibility of establishing benchmarking principles for utilization of departmental space that are consistent with College of Medicine guidelines. Such benchmarking will occasionally mandate re-assignment of space based on evolving circumstances including 1) new faculty recruitment and 2) increased or decreased funding of existing faculty.

## **Guidelines and Definitions**

**Office:** Each full-time tenured or tenure-track faculty is entitled to an office, regardless of funding status. Other faculty and research scientists may be assigned office space if available.

**Research Space:** In order to arrive at a fair and accurate assessment of total square feet assigned to each faculty member, the following principles apply:

1. All space assigned to a faculty member is considered research space, regardless of its configuration or utilization.
2. Shared space is calculated in proportion to the individual faculty member's use as a percentage of the whole.
3. All assigned space is included in total area calculations regardless of location; however, cost per square foot will vary as a function of location and will be considered relative to the quality of the research space (as defined by the College of Medicine metrics).

**Funding:** In order to arrive at a fair and accurate assessment of each faculty member's funding, the following principles apply:

1. Funding dollars will be calculated as total cost (direct and indirect).
2. Shared funding will be calculated in proportion to the actual distribution of funds between the P.I. and all Co-I's. In order to avoid misunderstandings between investigators, the intended distribution of funds should be decided among the involved investigators at the time of submission then endorsed by the department Chair(s). Changes necessitated due to budget cuts by the granting

agency should be handled similarly (i.e., mutual agreement with endorsement by the Chair).

3. Faculty directing components of grants (e.g., PPGs) will be credited in proportion with the actual distribution of funds to their component of the grant.
4. Other funding, such as that to pre- and post-doctoral trainees and research faculty, will be credited to the faculty member sponsoring the trainees or research faculty.
5. Funding via "no-cost extensions" or release-time accounts will not be included.
6. Annual funding of Professors and Associate Professors will be calculated as an average of the current and previous two years. Annual funding for tenure-track Assistant Professors will be calculated as a running four-year average.

***Criteria for assigning/re-assigning research space:*** Faculty funding via external grants is a major criterion for assigning or re-assigning research space. Still, no matter how successful a faculty member is in obtaining funding, the funding per square foot calculation alone is not sufficient to determine research space assignments or reassignments. Additional criteria include the quality of the space, the need to protect a minimum level of space for junior faculty and the space needs of faculty that may experience temporary loss of funding. In order to arrive at a fair and accurate distribution of research space within the department, the following criteria apply:

1. *Funding per square foot:* Each year, assigned research space will be ranked (prioritized) based on annual funding dollars (direct & indirect three-year average) divided by square feet of assigned research space. This relative ranking will provide each faculty member and the Chair with an annually updated assessment to help evaluate requests for additional space (increased research needs) or the possibility of space re-assignment (decreased research needs). These rankings will also be considered by the Chair in the context of the faculty member's pending grant applications and future research goals.

2. *Space quality:* Not all laboratory space is appropriately designed for the work being conducted. Thus, in the short term, relative ranking based on funding per square foot, should be viewed in light of space quality. In the long term, every effort should be made to match research needs to laboratory space design (i.e., re-design existing space or move to more appropriate space).

3. *Space protection for tenure-track Assistant Professors:* Since most assistant professors usually have a single laboratory, re-assignment of such space would effectively terminate any chance of promotion and tenure. Thus, re-assignment should be avoided whenever possible. Assuming that the Assistant Professor has demonstrated continued efforts to obtain funding (i.e., pending national grants), the funding per square foot calculation for junior faculty space will be based on a four-year average.

*4. Space protection for senior (Associate Prof/Prof) faculty between grants:* Protection is provided by calculating funding per square foot based on a three-year average. In this manner, short-term losses of funding will only lower the relative ranking of a faculty member's space in an annual stepwise fashion (see #1 above). Thus, assuming continued efforts to obtain new funding, faculty previously funded will normally have two years before space is considered for re-assignment.

*5. Variable "Funding per square foot" criterion for large laboratories:* Highly-funded faculty with funding per square foot in the top one third of the department may request additional lab space. However, in order to justify additional space, funding per total square foot must be in excess of 50% above the departmental average. This higher expectation is not intended to impose a penalty on large laboratories, but rather, it provides protection for smaller laboratories with comparable funding per square foot (i.e., large laboratories should be better able to adapt to a re-assignment of some space).

**Appeals:** In the event that a faculty member's research space is considered for re-assignment, the individual will be given the opportunity to present to the space committee their case for why such space should be retained (e.g., extenuating circumstances meriting exception). A summary of the appeal will be presented in an advisory letter to the department Chair.

## **Distribution of Faculty Duties and Responsibilities**

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

The mission of the department involves instructional, scholarly, and service activities. Faculty members are expected to participate in all three endeavors; however, the average percentage of time that faculty are expected to devote to each mission area will vary between faculty. It is the responsibility of the Chair, in consultation with each faculty member, to assign individual workloads to assure that the mission of the department is fulfilled. This process will take place as a part of the annual faculty review meeting with the Chair. It is expected that each faculty member will have assignments that reasonably and appropriately represent 100% of a full-time effort.

To achieve excellence and fulfill the department's mission, department faculty members are expected to be available for interaction with students, carry-out high impact research, and participate in regular or special departmental meetings and events. On-duty faculty members should not be away from campus for extended periods of time unless on an approved leave (see section XII) or on approved travel. When a faculty member's contributions decrease in one of the three mission areas, an increase in activity in one or both of the other areas is

expected. The Chair, in consultation with the individual faculty member, will make such adjustments.

It is the responsibility of the Chair to effectively communicate with each faculty member about performance expectations, to set high standards, to give clear feedback about performance, and to appropriately incentivize high levels of productivity. During the summer, face-to-face conversations between the Chair (or his/her designee) and individual faculty members will be scheduled to evaluate their performance with respect to previously established goals. After the meeting, faculty members will receive clear, objective, and constructive written feedback regarding their performance. Details of the annual merit review process can be found in the department APT document.

**Instructional activity** in the department includes participation in undergraduate, graduate, professional (medical), post-graduate professional (post-M.D.) and post-doctoral (post-Ph.D.) student education. Teaching may include: 1) individual instruction (e.g., student advising, guiding student research, individual study); and 2) formal lecture and laboratory courses (e.g., required and elective courses in the undergraduate Neuroscience Major, Med I Neural Science, and graduate courses for students. These courses may be taught by either individual instructors or by a faculty team. Other instructional activities also include creating, developing, and revising instructional materials including computer-assisted instructional programs. The average percentage of time that faculty are expected to devote to instructional activities will vary as a function of their scholarly and service activities.

**Scholarly activity** includes producing publications (e.g., articles in peer-reviewed journals, books, monographs, and electronic media), submitting grant applications and conducting work supported by funded grants, giving invited seminars, presenting at professional meetings or symposia, and/or drug and patent development. Faculty members are expected to be involved in sponsored research as a principal or a co-investigator and to publish annually in peer-reviewed journals. The Chair, in consultation with the individual faculty member, will determine the average percentage of time devoted to scholarly activities during the annual review. The department has established minimum annual baseline metrics to be used for annual review of scholarly activity. For information related to the annual review and a description of detailed expectations of scholarly activity at each rank, please refer to the department APT document.

**Service activity** includes administrative work (e.g., for department, college, university), service to the profession (e.g., providing peer review for funding agencies or scientific journals, serving as an officer for professional organizations, writing letters of recommendation for students and/or faculty promotion, etc.), and service or outreach activities to the community (e.g., local, state, national, or international). Service activity also includes directing facilities or centers. Finally, faculty members are expected to participate in departmental



governance through active engagement in departmental faculty meetings and other similar activities that support the mission of the department. The average percentage of time that faculty are expected to devote to service will vary as a function of their scholarly and teaching activities.

### **Guidelines on Appointments to Sponsored Projects**

The College of Medicine requires that faculty members include a request for salary funds in all grant proposals to agencies that accept charges for salary as an allowable cost. The percent of salary requested should accurately reflect effort on a research project. For tenure-track faculty, it is expected that they will regularly apply for and obtain support from extramural funding agencies to support, at a minimum, 50% of their effort. Investigator-initiated NIH R01 grants with full indirect costs should be prioritized. Obtaining support from other sources of funding that provide salary support also are recognized as contributing to this goal (e.g. NIH R21, NSF, DoD, project on a P01 grant, private foundation support, etc.). Faculty members that provide direct salary appointments greater than 50% of their full salary are eligible for the College of Medicine Incentive Plan.

### **Special Assignments**

Information on special assignments (SAs) is presented in the Office of Academic Affairs [Special Assignment Policy](#). The information provided below supplements these policies.

Untenured faculty will normally be provided an SA for research for one semester, during their probationary period. The department's APT Committee will evaluate all SA proposals and make recommendations to the Chair. The Chair's recommendation to the Dean regarding an SA proposal will be based on the quality of the proposal, its potential benefit to the department or University and to the faculty member and the ability of the department to accommodate the SA at the time requested.

### **Parental Modification of Duties**

The Department of Neuroscience 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 Medicine'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](#) 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**

The Vice Chair of Academic Affairs will annually develop a schedule of course offerings and teaching schedules in consultation with the Chair and the faculty. While every effort will be made to accommodate the individual preferences of faculty, the department's first obligation is to offer the courses needed by students at times and in formats, including on-line instruction, most likely to meet student needs. To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs, reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students (usually <15) required by Faculty Rule [3335-8-16](#) will normally be cancelled and faculty members scheduled to teach that course will be assigned to another course for that or a subsequent semester. Finally, to the extent possible, courses required in any curriculum or courses with routinely high demand will be taught by at least two faculty members across semesters of offering to assure that instructional expertise is always available for such courses.

## **Allocation of Department Resources**

This section describes departmental policies with respect to space assignments, travel funds and other resources other than merit salary increases. The allocation of salary funds is discussed in the APT Document.

**Space:** Space is allocated as described in the Guidelines for Assignment and Retention of Research Space (see above).

**Funds:** The major sources of departmental funds are salary recovery monies generated by research grants. These dollars become available to the department when direct salary appointments exceed the dollars needed to pay for all guaranteed faculty salaries. Examples of department fund expenditures (beyond administrative salaries) include temporary support for graduate students whose advisors are between grants, temporary bridge funds for faculty research programs between grants, funds for research equipment, travel expenses for individual faculty and graduate students to present research at professional meetings, and funds for professional development of individual faculty (e.g., workshops).

**Allocation:** Allocation of departmental funds will be at the discretion of the Chair. At the end of each fiscal year, the Chair shall provide information to the faculty regarding the amounts and proportions of departmental funds disbursed for each of the major expense categories (salaries, bridging funds, travel funds, equipment purchases, etc.). Faculty may then make formal recommendations to the Chair regarding fund utilization for the next fiscal year; however, final decisions on budgetary matters rest with the Chair.

## **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](https://oaa.osu.edu/policies-and-procedures-handbook), <https://oaa.osu.edu/policies-and-procedures-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 a travel request or an Application for Leave form well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the 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. Rules of the University Faculty require that the Office of Academic Affairs approve any discretionary absence longer than 10 consecutive business days (See Faculty [Rule 3335-5-08](#)) and must be requested at <https://eleave.osu.edu/>.

### ***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 Chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. For additional details see [OHR Policy 6.27](#).

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

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in [OHR Policy 6.45](#).

### ***Faculty Professional Leave***

A *Faculty Professional Leave* (FPL) constitutes a more formal departure from regular academic duties than a *Special Assignment* (see above) and may be considered for any period of intensive study or research not to exceed one 9- or 12-month academic year. Information on faculty professional leaves is presented in the OAA Policy on [Faculty Professional Leaves](#). The information provided below supplements these policies.

Faculty members who desire an FPL should discuss the matter with the department Chair during their annual evaluation or as soon thereafter as

possible. The department Chair will indicate whether submission of a full FPL proposal is appropriate. Because the Dean, Office of Academic Affairs and Board of Trustees must approve FPL proposals, faculty should submit their proposal for a given year no later than the end of autumn semester of the preceding year. Exceptions may be considered when an unexpected opportunity precludes such timing.

The Chair's recommendation to the Dean regarding an FPL proposal will be based on 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 FPL at the time requested.

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

Information on faculty supplemental compensation is presented in the OAA [Policy on Faculty Compensation](#). 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. 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.

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

### **Financial Conflict of Interest and Faculty Conflict of Commitment**

Information on faculty financial conflicts of interest is presented in the University's [policy document](#). A financial 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 professional judgment in exercising any institutional responsibility, including designing, conducting or reporting research. Faculty members with external funding or that are 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 the University's policy on [conflicts of commitment](#).

## **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 be eligible to file a more formal salary appeal (see the Office of Academic Affairs [Policies and Procedures Handbook](#)).

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](#).

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

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

### ***Sexual Misconduct***

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

### ***Student Complaints***

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about courses and instructors to the department Chair, the Chair will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the Chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the Chair will explain that it is not possible to fully

investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not.

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](#).

### ***Code of Student Conduct***

In accordance with the [Code of Student Conduct](#), faculty members will report any instances of academic misconduct to the [Committee on Academic Misconduct](#).

### ***Professional Student Honor Code***

Graduate Students that are advised by faculty in the College of Medicine will follow the [Professional Standards](#) as defined by the Graduate School. Medical students that are taught by the faculty in the College of Medicine are subject to the [Honor Code for Medical Students](#).