

# **DEPARTMENT OF PHYSIOLOGY AND CELL BIOLOGY**

## **PATTERNS OF ADMINISTRATION**

Approved by the faculty June 2012

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## **DEPARTMENT OF PHYSIOLOGY AND CELL BIOLOGY**

### **INTRODUCTION**

This document provides a brief description of the Department of Physiology and Cell Biology as well as a description of its policies and procedures. It supplements the rules of the university faculty and other policies and procedures of the university to which the department and its faculty are subject. The latter rules, policies and procedures, and change in them, take precedence over statements in this document. The faculty rules can be found at: <http://trustees.osu.edu/rules/university-rules.html>. The current faculty handbook can be found at: <http://oaa.osu.edu/handbook.html>.

This Patterns 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 subject to approval by the college office and the office of academic affairs. It is a supplement to the current Statutes, Bylaws and Rules (1987) (Rule 3335-3-35) of The Ohio State University and to the Rules and Policies of The College of Medicine .

### **DEPARTMENTAL MISSION**

The mission of the Department of Physiology and Cell Biology within the College of Medicine and The Ohio State University has three fundamental components. First is to educate students in the physiological and cell biological sciences and skills basic to practice of medicine, dentistry, optometry, pharmacy and other allied health professions. Graduate education, which is incorporated in this function, prepares students for careers in physiological and cell biological research, research management and teaching. Second is to conduct basic and applied research that extends the frontiers of physiological and cell biological science at all levels of biological organization from molecules to the whole organism with relevance for the solution of health problems in humans and animals. Third is to provide service and expertise to The Ohio State University, the State of Ohio and national/international biomedical organizations.

## **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 widespread the agreement on a decision needs to be. Open discussions, both formal and informal, constitute the primary means of reaching consensus on decisions of central importance.

All matters of the Department of Physiology and Cell Biology involving educational and academic policies require consultation with the faculty as a whole. This consultation, when practicable, shall be undertaken at a meeting of the faculty as a whole. Consultation may also take the form of appointment or election of a committee to bring specific proposals before the faculty.

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 chairperson, 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.

The departmental chairperson, in carrying out his/her responsibilities, 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. A statement of reasons shall be provided before the departure occurs, when possible. 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.

## **ACADEMIC RIGHTS AND RESPONSIBILITIES**

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

## THE FACULTY

Faculty Rule 3335-5-19, <http://trustees.osu.edu/rules/university-rules.html> 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 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 one-half time appointment in the Department of Physiology and Cell Biology. Also included as members 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.

Research faculty appointments are defined as fixed-term contract appointments that do not entail tenure. Research faculty members are researchers engaged in research related to the mission and goals of the Department of Physiology and Cell Biology. Research faculty members comprise no more than thirty-three per cent of the number of tenure- faculty in the Department of Physiology and Cell Biology and never constitute a majority with respect to the number of tenure- faculty in the department. Research faculty shall not vote on issues related to promotion and tenure or on curricular issues and shall not be elected to service on the Promotion and Tenure Committee or on the Teaching Committee of the Department of Physiology and Cell Biology. No more than one research faculty member shall be elected or appointed to any departmental committee.

In addition, joint appointees, emeritus faculty and individuals appointed as research scientists, are considered valuable members of the departmental faculty who are encouraged to participate in a non-voting capacity in all departmental meetings and activities.

Courtesy Appointees are defined by the department as faculty members, with primary appointments in other departments, who have credentials and/or research interests compatible with the disciplines of physiology and cell biology. Criteria and procedures for Courtesy Appointees are described in Appointments, Promotion, and Tenure Document. In these cases, the primary department will be the tenure-initiating unit and provide the majority of support for the joint appointee.

Emeritus faculty are defined as persons who, upon retirement, were recommended by the chairperson, the dean and the executive vice president and provost for emeritus status.

Graduate faculty are defined as 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 <http://www.gradsch.ohio-state.edu/Depo/PDF/Handbook.pdf>

## **CHAIRPERSON**

The chairperson is a member of the Department of Physiology and Cell Biology appointed by the Dean of the College of Medicine as the executive officer of the department. The appointment is for a four-year term with the option for reappointment. The duties of the chairperson of the department are defined as follows, in accordance with the Statutes, Bylaws and Rules of The Ohio State University (3335-3-35):

1. The chairperson shall have administrative responsibility for all of the programs of the Department of Physiology and Cell Biology, subject to the approval of the Dean of the College of Medicine.
2. Development, in consultation with the departmental faculty as a whole, of a document outlining a Patterns of Administration for the department. This document shall be made available to all present and prospective members of the faculty of the department and a copy shall be deposited in the Office of the Dean of the College of Medicine and in the Office of the Executive Vice President and Provost.
3. Preparation, after consultation with the faculty and in accordance with the pattern of departmental administration, a statement setting forth the criteria and procedures according to which recommendations are made concerning appointments and/or dismissals, salary adjustments, promotions in rank, and matters affecting the tenure of the faculty. This statement 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 of Medicine and in the Office of the Executive Vice President and Provost. At the beginning of each four-year term of the chairperson, the members of the department, the Office of the Dean of the College of Medicine and in the Office of the Executive Vice President and Provost shall receive either a revision or reaffirmation of the original statement.
4. Provision of a schedule of faculty meetings to all faculty members at the start of each academic year.
5. To consult with the faculty as a whole on all policy matters and, whenever practicable, do this at a meeting of the faculty as a whole.
6. To consult with the faculty in the initiation and in the review and selection of new faculty members for appointment.

7. Maintenance of minutes of all faculty meetings and records of all other actions covered by the Patterns of Administration, including timely incorporation of revisions into the Patterns of Administration.
8. Operation of the business of the department with efficiency and dispatch.
9. Planning with the members of the faculty and the Dean of the College of Medicine a progressive program.
10. Evaluation continuously of the instructional and administrative processes and lead in the study of methods of improving them.
11. Evaluation of faculty members, periodically, in accordance with the criteria approved by the Board of Trustees and subject to instructions from the dean and Executive Vice President and Provost, and also according to such supplemental criteria as may be set up by the Department of Physiology and Cell Biology and/or College of Medicine.
12. To inform faculty members 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.
13. Recommend to the Dean of the College of Medicine, after consultation with the faculty, appointments, promotions, dismissals, and matters affecting the tenure of members of the Department of Physiology and Cell Biology.
14. Encourage research and educational investigations.
15. See that all faculty, 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. Duties and responsibilities will be assigned in accordance with the mission statement of the department.
16. See that adequate supervision and training are given to these members of the faculty and staff who may profit by such assistance.
17. Prepare (after consultation with the professors, associate professors, and assistant professors with tenure) annual budget recommendations for the consideration of the Dean of the College of Medicine.
18. Promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.

## **FACULTY MEETINGS**

Faculty meetings shall be the basis for the normal business of the department and shall take place on the third Tuesday of the month at 12:00 noon.

1. Roberts Rules of Order shall prevail, unless otherwise specified in the Patterns of Administration.
2. Any change in time, date or place of the scheduled meeting shall only be done with due notification to the faculty and only for compelling reasons.
3. The Chair of the meeting shall normally be the Department Chairperson or his/her designate. The meeting shall not normally be canceled. If need for cancellation is compelling, it shall be explained in writing to the faculty.
4. Minutes will be kept by the departmental secretary or, if absent, by the designee of the meeting chairperson.
  - a. Minutes will be disseminated to all departmental faculty eligible to attend meetings no less than seven (7) working days following the meeting.
  - b. Approved minutes will be kept on file by the departmental secretary in the departmental office and be made available for perusal on demand.
5. Attendance and participation in discussions (but not voting) at faculty meetings shall be open to all departmental faculty, including associated faculty and research scientists.
6. 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.
  - a. A quorum shall consist of 60% of the tenure-track and research faculty on duty at the time of the meeting, including the meeting chairperson.
  - b. In the absence of a quorum, discussions, straw votes, recording of minutes, etc. may proceed, but no binding votes shall take place.
  - c. The meeting chairperson shall only vote in case of a tie.

7. An agenda for the meeting shall be determined by the meeting chairperson.
  - a. The agenda shall be disseminated to the faculty no less than five (5) working days prior to the meeting.
  - b. The location of the meeting shall be announced with the agenda.
  - c. The agenda shall include any items tabled in the previous meeting and must identify any item scheduled for vote at the meeting in question.
  - d. The agenda must include any item, so requested, in writing to the departmental chairperson by the faculty member.
8. Normal order of business at faculty meetings shall be:
  - a. Call to order
  - b. Certification of a quorum
  - c. Action on minutes of previous meeting
  - d. Announcements
  - e. Issues tabled at previous meetings
  - f. Committee reports
  - g. Other old business
  - h. New business
  - i. Adjournment
9. Binding votes shall only take place on issues that have been raised, discussed and tabled at a previous meeting or properly identified on the agenda.
  - a. A simple majority shall constitute a binding vote.
  - b. Voting by raised hand shall be the normal pattern, except that a secret ballot may be requested by a voting member.
- B. Special faculty meetings shall be called by the departmental chairperson for urgent issues that cannot wait or be normally handled at the faculty meeting.

- 1 The agenda shall normally be limited to a specific issue.
- 2 Attendance may be limited to the faculty, including disseminated agenda and minutes.
- 3 Two working days' notice will suffice.
- 4 All other meeting requirements (i.e., minutes, quorum, binding votes, etc.) shall apply.
- 5 If a binding vote is urgent, a subsequent Special meeting may be set up after a 24-hr. delay.

## **DEPARTMENTAL COMMITTEES**

### **PROMOTION, AND TENURE (P&T) COMMITTEE**

**Note:** Detailed descriptions of the composition and duties of the P&T committee are found in APPENDIX A.

### **MERIT COMMITTEE**

**Note:** Detailed descriptions of the composition and duties of the Merit Committee are found in APPENDIX A and only summarized briefly here.

#### A. Composition

1. The Merit Committee shall consist of six elected faculty members serving three-year staggered terms (two new members added per year).

#### B. Duties and Functions

1. The Merit Committee shall review and evaluate all faculty of the department for accomplishments in teaching, research, and service, in accordance with the criteria described in **APPENDIX A**.
2. The Merit Committee shall propose for ratification, by vote of all eligible departmental faculty, the standards by which faculty members shall be evaluated for merit recommendations.
3. The chair of the Merit Committee shall: (a) call meetings with due notice to members, (b) after consultation with the departmental Chair, determine the deadline for the merit evaluation, (c) transmit recommendations to the departmental Chair and to the faculty members under review, and (d) schedule a meeting with the departmental Chair to discuss the committee's recommendations

### **GRADUATE STUDIES COMMITTEE**

#### A. Duties and functions

1. The Graduate Studies Committee (GSC) serves to provide departmental oversight for graduate students and to coordinate graduate program activities between the Department of Physiology and Cell Biology and graduate programs of the Ohio State University including the Integrated Biomedical Graduate Program (IBGP) in the College of Medicine and life sciences interdisciplinary graduate programs.

2. Members of the committee will represent the department on the Graduate Studies Committee of the Integrated Biomedical Graduate Program.
3. The committee will serve to promote recruitment of graduate students into faculty laboratories.
4. The committee will organize the annual department research day, which shall feature research activities of the trainees of the department.
5. The committee will report its activities at each faculty meeting.

#### B. Structure and composition

1. The committee will consist of five faculty members. In addition, the chairperson of the department will be an ex-officio member, without vote.
2. Appointments to the committee will be made by the chairperson of the department after consultation with the faculty.
3. The term of the office for faculty will be three years.
4. Faculty appointments will usually be made official during the spring semester. Outgoing members will function until that time.

#### C. Officers

1. The officers of the committee shall consist of a chairperson, a vice-chairperson and an alternate representative.
2. The chairperson and vice-chairperson will be appointed for a three-year term by the departmental chairperson after consultation with the committee. The alternate will be elected annually at the first official meeting of the newly constituted committee.
3. The chairperson and vice-chairperson will serve as the departmental representative on the IBGP Graduate Studies Committee. The alternate will attend the IBGP meetings when the chairperson and co-chairperson are unable.
4. The chairperson will be responsible for carrying out the daily operation of the GSC, calling and presiding at meetings, preparing the agenda for meetings, executing the decisions of the committee and reporting

committee activity to the faculty at normally scheduled departmental meetings.

5. Vacancies in these offices will be filled by committee vote as soon as possible.

#### D. Quorum

1. Three voting members, including at least one of the officers present at any official meeting of the committee, shall constitute a quorum.
2. A simple majority vote, of voting members present, shall be required for all official actions of the committee.

#### E. Meetings

1. Meetings shall be held at least once each semester throughout the calendar year at a definite time and place, unless specifically canceled by vote of the committee.
2. Special meetings may be called by the chairperson at any time and must be called by him if requested by two other members of the committee.
3. All members must be given adequate notice of all meetings.

### **SPACE COMMITTEE**

#### A. Composition

The space committee will be appointed by the Chair and will consist of four members appointed to staggered three year terms.

#### B. Duties and Functions:

1. The responsibility of the space committee is to serve in an advisory capacity to the chair, annually updating funding and space calculations, and communicate these data to all faculty.
2. Assignment and retention of research space will be made according to the space policy (see below) formatted by the committee and approved by faculty on 11/20/01.

### **SEARCH COMMITTEE**

## A. Composition

This is a provisional committee that is constituted anew as vacancies occur within the department. Members of each newly formed Search Committee and the chairperson of the committee shall be appointed by the departmental chairperson after announcement of intent and discussion of goals, mission strategies and philosophy in a meeting of the faculty. The Committee will usually consist of five members, one of whom will be designated as the Affirmative Action Advocate by the Chairperson of the Search Committee.

## B. Duties and Functions

The responsibility of the Search Committee is to identify the best qualified candidates to fill vacancies on the faculty consistent with the goals, mission and philosophy of the department.

General aspects of the charge to this committee consist of:

1. Conducting the search at the national level.
2. Conduct a search that generates a diverse pool of applicants including women and minorities.
3. Writing the job description and drafting the position announcement.
4. Drafting recruitment letters, as well as other appropriate letters and identifying names and addresses of individuals and institutions to which recruitment letters should be sent.
5. Establishing procedures for screening based on criteria related to the goals of the search and the departmental mission.
6. Generate and screen a diverse pool of applicants.
7. Review and evaluate all applicants in the pool.
8. Complete all necessary documentation of the search.
9. Present the departmental chairperson with a priority "short list" of three to six candidates for discussion by the faculty, invitations for interview and eventual hiring action.

## **TEACHING COMMITTEE**

This Committee deals with all aspects of the curricular offerings of the department.

A. Composition:

1. Chair (named by Departmental Chair)
2. Course Directors of major department service courses (e.g. 3101/3102, 6101/6102)
3. Directors and Administrators of College of Medicine pathways.

Appointment of each course director will be made by the departmental chairperson in consultation with the faculty. In addition to responsibilities of the Teaching Committee, Course Directors bear responsibility and will be accountable for conduct of the course to which they are assigned, in accordance with the rules of the Department, College and University.

B. Duties and Functions:

1. Evaluation of current course offerings as to availability, adequacy, sequence and frequency.
2. Recommendation of new courses and the deletion of old courses as required to maintain the academic program of the department at a modern-robust level.
3. Recommendation to the faculty concerning changes in course offerings and programs.
4. Submission of all changes in existing courses as well as additions to or deletions from present course offerings to the College of Medicine Curriculum Committee and the University Office of Academic Affairs.
5. Report periodically to the faculty on the status of the curriculum and regularly contact members of the faculty for suggested changes that might improve the curriculum.
6. Advisement to the departmental chairperson on yearly assignment of teaching responsibilities to the members of the faculty.
7. Review and coordinate procedures and outcomes of student evaluations of courses and faculty. Provide peer review of instruction upon request.

Serve as the primary contact for faculty concerning any teaching issue.

**JUNIOR FACULTY ADVISORY COMMITTEES**

Each member of the faculty who is appointed at the rank of assistant professor and is untenured will be assigned a three-person advisory committee. The Committee will be composed of members of the tenured

faculty including one member who has recently received tenure, and will be appointed by the departmental chairperson in consultation with the advisee. Each Junior Faculty Advisory Committee will serve until their advisee is either promoted to associate professor or departs from the department. The committee will meet at least twice annually. Responsibility of these committees is to provide overall guidance and support for the junior faculty member in all aspects of adjustment to the university and the pursuit of promotion and tenure.

### **TENURED FACULTY SUPPORT**

Encouraging and supporting mid-career professional development is important. 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 the formulation of a long-range plan for professional development and to provide feedback on immediate and long-range issues. The group should meet regularly to discuss progress in professional development. No reports will be generated but the faculty member should inform the chair when the advisory committee is formed.

### **POLICY FOR ASSIGNMENT AND RETENTION OF RESEARCH SPACE**

**Purpose:** Outline policies for the maximal and efficient use of all new and existing Physiology and Cell Biology department space. The department has the responsibility of establishing benchmarking principles for utilization of departmental space 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.

**Space Committee:** The department chair is assisted in this role by the space committee which will serve in an advisory capacity to the chair, annually update funding and space calculations, and communicate these data to all faculty. The committee will consist of four members appointed to staggered three year terms.

### **POLICIES:**

**Office:** Each full time tenured- faculty is entitled to an office, regardless of funding status.

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

### **Definition:**

1. With the exception of the single office, all of the 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 regardless of location.

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

**Definition:**

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 possible misunderstandings between investigators, the intended distribution of funds should be decided among the involved investigators at the time of submission, and endorsed by the department chair and/or space committee. Changes necessitated due to budget cuts by the granting authority should be handled similarly (i.e., mutual agreement endorsed by the chair and/or space committee).
3. Faculty directing components of grants such as PPG's will be credited in proportion with the actual distribution of funds to that component.
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/research faculty.
5. Funding via "no-cost extensions" and release-time accounts will not be included.
6. Annual funding of professors and associate professors will be calculated as a running three-year 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 grant sources is a major criterion for the assignment/re-assignment of research space. Nevertheless, no matter how successful a faculty member is in obtaining funding, the funding per square foot calculation should not be sufficient in itself to determine research space assigned. Additional criteria include the quality of the assigned space, the need to protect a minimum level

of space for junior faculty, and the space needs of faculty experiencing a temporary loss of funding. In order to arrive at a fair and accurate distribution of research space within the department, the following criteria apply:

**Criteria:**

1. **Funding per square foot:** 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 should provide each investigator with an annually updated assessment regarding requests for additional space (increased research needs) or the possibility of space re-assignment (decreased research needs).
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 (~600 ft<sup>2</sup>), re-assignment of such space would effectively terminate any chance of promotion and tenure. Thus, re-assignment should be avoided whenever possible. Assuming 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 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. Thus, assuming continued efforts to obtain new funding, faculty previously funded will normally have two years before space is subject to 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 up to 1500 ft<sup>2</sup> of lab space. However, in order to justify space in excess of this number, 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, to provide protection for small 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 being 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).

## **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, <http://oaa.osu.edu/handbook.html> Volume 1, Chapter 2, Section 1.4.1. The information provided below supplements these policies.

The departmental chairman determines duties and responsibilities in accordance with the mission statement of the department. Duties should reflect departmental commitment to teaching, research, and service. Distribution and assignments will be made in accordance with individual faculty strengths and abilities.

## **COURSE OFFERINGS AND TEACHING SCHEDULES POLICY**

The department chairperson will annually develop a schedule of course offerings and teaching schedules in consultation with the Teaching Committee and the faculty, both collectively and individually. Guidelines can be found at <http://oaa.osu.edu/handbook.html>.

## **ALLOCATION OF DEPARTMENT RESOURCES POLICY**

This section describes departmental policies with respect to space assignments, travel funds and other resources other than merit salary increases.

**Space:** Space allocation is described in Space Committee; Policy for Assignment and Retention of Research Space.

**Funds:** The major sources of departmental funds are salary recovery monies generated by research grants, and other sources as identified by the departmental Chair. In turn, departmental 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.

## **LEAVES AND ABSENCES POLICY**

The university's policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>) and Office of Human Resources Policies and Procedures website, [www.hr.osu.edu/policy/policyhome.htm](http://www.hr.osu.edu/policy/policyhome.htm). The information provided below supplements these policies.

### **A 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/>.

### **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 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, [www.hr.osu.edu/policy/index.aspx](http://www.hr.osu.edu/policy/index.aspx).

## **C Unpaid Leaves of Absence**

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR Policy 6.45, [www.hr.osu.edu/policy/index.aspx](http://www.hr.osu.edu/policy/index.aspx). The information provided below supplements these policies.

## **D Faculty Professional Leave**

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

The department's Merit Committee will review all requests for faculty professional leave and make a recommendation to the department chair based on the quality of the proposal as well as its potential benefit to the department and to the faculty member.

The chair's recommendation to the dean regarding an FPL proposal will be based on the quality of the proposal and its potential benefit to the department and to the faculty member as well as the ability of the department to accommodate the leave at the time requested.

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

No departmental guidelines that supplement College or University Policies are recommended (see [http://oaa.osu.edu/OAAP\\_PHandbook.php](http://oaa.osu.edu/OAAP_PHandbook.php)).

## **GRIEVANCE PROCEDURES**

The department's mechanisms for reviewing faculty, staff and student grievances are outlined below.

**Committee:** A grievance committee will be formed when requested and composed of at least 3 objective persons that are not in conflict with the issue of concern.

**Procedure:** Any departmental member who believes he/she has been treated unfairly regarding salary, assigned duties, assigned space, or other areas, should attempt to resolve the problem(s) via the sequence of steps detailed below. [Note: all members are free to consult directly with the departmental Chair at any point in the process].

## **Faculty**

Step 1. Problems regarding salary, assigned duties or assigned space should first be brought to the attention of the relevant standing committees (Merit, Teaching and Space Committees, respectively). If no informal resolution is achieved, he/she can elect to proceed to Step 2. Grievances outside the areas of the above committees should proceed directly to Step 2. Note that the University Ombudsman is available for consultation by FACULTY regarding grievance procedures and/or confidential discussions. The Ombudsman serves both as an advisor to faculty to assist them in determining the viability of the complaints and issues they may have, to direct them to appropriate offices, committees, and university rules and policies, and, when appropriate, to mediate informal early-stage complaints. He/she would not have authority to make a recommendation that is binding on either party in a complaint.

Step 2. Request the formation of and an initial meeting with a departmental Grievance Committee. This initial meeting will be informal (no minutes taken), and for informational purposes only. If no resolution is achieved, faculty can elect to proceed to Step 3.

Step 3. Request a formal meeting with the Grievance Committee to formally present their case. The committee would then make a formal recommendation for resolution based on the case presented, and relevant information from the Chair and/or committee (Merit, Teaching, Space). This recommendation would then be sent to the Chair for final action.

Step 4. In the event that the faculty member is dissatisfied with the Chair's response, he/she may elect to file an appeal to the relevant College of Medicine administrator and/or committee.

## **Staff**

Employment disputes applying to unclassified and non-probationary classified civil service staff not covered by collective bargaining agreements.

Step 1. Consultation with the staff member's direct supervisor. If no resolution is achieved, he/she can elect to proceed to Step 2.

Step 2. Consultation via the existing college and university procedures (see <http://hr.osu.edu/policy/820pol.htm> ).

## **Students**

Step 1. Consultation with the student's advisor and advisory committee. If no resolution is achieved, he/she can elect to proceed to Step 2.

Step 2. Consultation with the relevant Graduate Studies administrator and/or committee (e.g., IGBP, Biophysics, etc). If no resolution is achieved, the student can elect to proceed to Step 3.

Step 3. Consultation with the relevant administrator at the College of Medicine and/or University level (e.g., Graduate School).

## **APPENDIX A: Promotion and Tenure Document**



## APPENDIX B

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## APPENDIX B

### 1. SUGGESTED FORMAT FOR ANNUAL MERIT ACTIVITY REPORT

All faculty are expected to maintain a current record of activities using The Ohio State University selected database (Research-in-View). In addition, for annual merit review reports, the following format is recommended.

#### Calendar Year XXXX

Name: \_\_\_\_\_

Rank: \_\_\_\_\_

#### Teaching:

1. Formal courses taught (including the following information for each course)
  - a. Course number and title
  - b. Role in course (e.g., Director, Lecturer)
  - c. Number of lectures delivered
  - d. Number of lecture equivalents (e.g., laboratories, structured review sessions)
  - e. Total additional hours devoted to tutoring individual students
  - f. Student and/or peer evaluations (Give overall rating #s, **attach SEIs and letters if available**)
2. Additional notable teaching activities (e.g., substantive development of course curriculum, textbook writing)
3. Graduate education activities (student name, program, and any noteworthy accomplishments):
  - a. Training grant PI
  - b. Graduate students in laboratory
  - c. Graduate student laboratory rotations
  - d. Dissertation and general examination committees
4. Other educational/mentoring activities: undergraduate/post-grad, medical students, faculty mentoring
5. Teaching awards

#### Research:

1. Publications (*Include full citation, Impact factor and % contribution (use first date of public release only; e.g. electronic release in Dec and paper release in March counts only for year of electronic release)*)
  - a. Authored books
  - b. First or senior-authored peer-reviewed articles (*provide impact factor if available*)
  - c. Non-peer reviewed publications as first or senior author (*e.g. book chapters, editorials, reviews*)
  - d. Non-senior author publications

2. Research funding (funding agency, type (R01, R21), start/ end dates, direct cost/year, % salary recovery for YOU):
  - a. Current awards as PI or Dual PI (*no-cost extensions are excluded*)
  - b. Current awards as Co-I or subcontracts
  - c. Current mentored awards (pre-doctoral, post-doc, K08, HHMI mentor etc.)
  - d. Pending proposals (*proposals **submitted** Jan-Dec only, give priority score or percentile if known*)
3. Research training of postdoctoral fellows/visiting scientists (*Name, position*)
4. Research presentations/scientific meetings (indicate if OSU, Regional, National, or International meeting):
  - a. Invited talks or seminars
  - b. Other presentations at meetings (e.g. posters)
5. Any additional research awards or honors (include licenses or patents awarded)

**Service:**(indicate leadership or administrative positions, give estimate of average # hours per month)

1. Course directorship (indicate course and affiliation, such as Department, College, University course)
2. Departmental service (committees, etc.)
3. College service (committees, poster/presentation/abstract judging, etc.)
4. University service (committees, graduate school representative on examinations, etc.)
5. Editorial service (journal editorships, membership on editorial boards, manuscript reviews, special issue editorship)
6. National service (professional society committees and offices held, study sections, review boards, etc.)
7. International service (international professional society committees and offices held, etc.)
8. Community service and academic outreach (teaching in schools, shadowing host, high school mentorship, fundraising)
9. Other Awards or Prizes for Service to your profession, the University, College or Department

### **Miscellaneous**

1. Additional Honors and awards
2. Other professional activities of importance that are not engendered by research, teaching and service categories listed above.

## **2. MENTORING SUGGESTIONS FOR ADVISORY COMMITTEES**

The issues listed below are typical, though not all inclusive, topics which should be considered by the new faculty member and the Junior Advisory Committee.

- How does one establish an appropriate balance between teaching, research, and committee work? How does one say "no"?
- What funds are available from the department / University? Start-up funds, graduate scholarships, travel / conference, small equipment funds, etc.
- How is the department organized? How are decisions made?
- What infrastructure is available to the new faculty member?
- What should the professional profile be after 3 years?
- What criteria are used for teaching excellence, how is teaching evaluated, and what is a teaching dossier?
- How does one obtain feedback concerning teaching?
- What resources are available for teaching enhancement?
- How does one become a member of the Graduate Faculty?
- What should graduate students expect from their supervisor?
- What are the Health and Safety implications to running a laboratory?
- What committees should one be on and how much committee work should one expect?
- How does the 3 year review proceed and how is tenure achieved?
- What should be included in the annual activity report?
- Will there be feedback about performance from the Chair, if so how often?
- What social events occur in the department, what seminars / workshops?
- What are the policies concerning maternity, family or personal leaves?

(University of Toronto)

### **A MENTOR'S ROLE MAY INCLUDE, BUT IS NOT LIMITED TO:**

- Recognize and evaluate what you can offer, keeping in mind that you should not expect yourself to fulfill every mentoring function
- Clarify expectations with your mentee about the extent to which you will offer guidance concerning personal as well as professional issues such as advice about how to balance family and career responsibilities
- Give constructive feedback (as well as praise) when warranted but present it with specific suggestions for improvement
- Help new faculty learn what kinds of available institutional support they should seek in order to further their own career development - such as faculty development funds
- Take time to be available to your mentee (can keep in contact by dropping by, calling, sending e-mail, or inviting your mentee to lunch); ask questions and to read proposals and papers, and for periodic reviews of progress; to constructively criticize errors and to recognize and praise excellence
- Tell your mentee if he/she asks for too little - or too much - of your time

- Maintain confidentiality
- Discuss with the mentee the "rules" of the department
- Advise on tenure and promotion requirements and processes
- Provide advice on University, college, and department policies
- Suggest strategies for effective teaching, grading, and writing grant proposals
- Propose effective ways of interacting with students and colleagues
- Help sort out priorities: budgeting time, publications, teaching, obtaining appropriate resources, setting up a lab or experimental work if appropriate, committees
- Suggest how to say "no" to certain demands on his/her time
- Provide social support, act as an advocate for the new faculty member
- Introduce him/her to colleagues from other departments
- Explain the written and unwritten rules of the University
- Discuss research, publication, and presentations at conferences

(University of Wisconsin Oshkosh)