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

## Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>I Introduction</td>
<td>2</td>
</tr>
<tr>
<td>II Department Mission</td>
<td>2</td>
</tr>
<tr>
<td>III Academic Rights and Responsibilities</td>
<td>2</td>
</tr>
<tr>
<td>IV Faculty</td>
<td>2</td>
</tr>
<tr>
<td>V Organization of Department Services and Staff</td>
<td>3</td>
</tr>
<tr>
<td>VI Overview of Department Administration and Decision-Making</td>
<td>3</td>
</tr>
<tr>
<td>VII Department Administration</td>
<td>3</td>
</tr>
<tr>
<td>A Chair</td>
<td>3</td>
</tr>
<tr>
<td>B Committees</td>
<td>4</td>
</tr>
<tr>
<td>i. Standing Committees</td>
<td>5</td>
</tr>
<tr>
<td>ii. Ph.D. Committee</td>
<td>5</td>
</tr>
<tr>
<td>iii. Faculty Recruiting Committee</td>
<td>5</td>
</tr>
<tr>
<td>iv. Department Executive Committee</td>
<td>5</td>
</tr>
<tr>
<td>v. Ad Hoc Committees and Task Forces</td>
<td>5</td>
</tr>
<tr>
<td>C Additional Consultation</td>
<td>5</td>
</tr>
<tr>
<td>VIII Faculty Meetings</td>
<td>6</td>
</tr>
<tr>
<td>IX Department Faculty Work Load Policy</td>
<td>6</td>
</tr>
<tr>
<td>X Policy on Faculty Duties and Responsibilities</td>
<td>8</td>
</tr>
<tr>
<td>XI Course Offerings and Course Schedules</td>
<td>8</td>
</tr>
<tr>
<td>XII Allocation of Department Resources</td>
<td>9</td>
</tr>
<tr>
<td>XIII Leaves and Absences</td>
<td>9</td>
</tr>
<tr>
<td>XIV Supplemental Compensation and Paid External Consulting Policy</td>
<td>11</td>
</tr>
<tr>
<td>XV Financial Conflicts of Interest</td>
<td>11</td>
</tr>
<tr>
<td>XVI Grievance Procedures</td>
<td>12</td>
</tr>
</tbody>
</table>
I INTRODUCTION

This document provides a brief description of the Department of Finance as well as a description of its policies and procedures. It supplements the Rules of the University Faculty, and other policies and procedures of the university to which the department and its faculty are subject. The latter rules, policies and procedures, and changes in them, take precedence over statements in this document.

This Pattern of Administration is subject to continuing revision. It must be reviewed and either revised or reaffirmed on appointment or re-appointment of the department chair. However, revisions may be made at any time as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the college office and the Office of Academic Affairs.

II DEPARTMENT MISSION

The mission of the Department of Finance is to provide an environment conducive to faculty research of the highest caliber and to offer nationally recognized instructional programs at the undergraduate, masters, and doctoral levels. The department strives to develop its faculty throughout their careers in the achievement of excellence in teaching, research, and service.

III ACADEMIC RIGHTS AND RESPONSIBILITIES

In April 2006, the university issued a reaffirmation of academic rights, responsibilities, and processes for addressing concerns. This statement can be found on the Office of Academic Affairs website, www.oaa.osu.edu/acad_rts_responds.php.

IV FACULTY

Faculty Rule 3335-5-19, www.trustees.osu.edu/ChapIndex/index.php defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment. For purposes of governance, the faculty of this department include regular faculty with compensated FTEs of at least 50% in the department. Except where specifically noted to the contrary (e.g., promotion and tenure cases), all regular faculty members in the department are eligible to vote on most matters, unless they also hold the title of associate dean or higher, in which case they might have a dual, and potentially conflicting role of having to review and/or approve recommendations from the Department.

Auxiliary faculty, emeritus faculty, and regular faculty joint appointees with FTEs below 50% in this department 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 of Finance has a regular clinical track. Regular clinical track faculty titles are assistant professor of clinical finance, associate professor of clinical finance, and professor of clinical finance.
Regular clinical track faculty can comprise no more than 20% of the total RTT faculty. Regular clinical track faculty may vote in all matters of department governance except tenure track promotion and tenure decisions.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this department is provided in the college Appointments, Promotion and Tenure Review document (Appendix A).

V ORGANIZATION OF DEPARTMENT SERVICES AND STAFF

The department has two separate groups of tenure-track faculty: Finance faculty and Law faculty. The department also has clinical finance faculty, senior lecturers, and adjunct faculty. The department offices are managed by a senior administrative staff person, and several additional full time staff members. The department hosts two research centers: The Charles A. Dice Center for Financial Economics and the Center for Real Estate Education and Research.

VI OVERVIEW OF DEPARTMENT ADMINISTRATION AND DECISION-MAKING

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

VII DEPARTMENT ADMINISTRATION

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

A Chair

The primary responsibilities of the chair are set forth in Faculty Rule 3335-3-35, www.trustees.osu.edu/ChapIndex/index.php. This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule 3335-6, www.trustees.osu.edu/ChapIndex/index.php, also requires the chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to promotion and tenure.

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

- To have general administrative responsibility for department programs, subject to the approval of the dean of the college, and to conduct the business of the department efficiently. This broad responsibility includes the acquisition and management of funds and the recruitment, hiring and supervision of faculty and staff.

- To plan with the members of the faculty and the dean of the college a progressive program; to encourage research and educational investigations.
To evaluate and improve instructional and administrative processes on an ongoing basis; to promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.

To evaluate faculty members and staff annually in accordance with both university and department established criteria; to inform faculty members when they receive their annual review of their right to review their primary personnel file maintained by their department and to place in that file a response to any evaluation, comment, or other material contained in the file.

To recommend, after consultation with the faculty, appointments, 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, www.trustees.osu.edu/ChapInxes/index.php , and the college Appointments, Promotion and Tenure Review document (see Appendix A).

To see that all faculty members, regardless of their assigned location, are offered departmental privileges and responsibilities appropriate to their rank; and in general to lead in maintaining a high level of morale.

To see that adequate supervision, training and development are offered to those members of the staff who may profit by such assistance.

To recognize the multi-disciplinary nature of the College of Business and the corresponding importance of effective collegiality and cooperation in both academic undertakings and administrative operations.

To prepare, after consultation with tenured faculty, annual budget recommendations for the consideration of the dean of the college.

Day-to-day responsibility for specific matters may be delegated to others, but the chair retains final responsibility and authority for all matters covered by this Pattern, subject when relevant to the approval of the tenured faculty, the dean of the college, Office of Academic Affairs, and Board of Trustees.

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

B Committees

Much of the development and implementation of the department’s policies and programs is carried out by standing and ad hoc committees. The chair is an ex-officio member of all department committees and may vote as a member on all committees except the Promotion and Tenure Committee. The Promotion and Tenure Committee makes recommendations to the chair.
Standing committees are established by the faculty to handle matters of ongoing interest. The chair appoints the chairperson of each standing committee and additional members as needed unless otherwise stated, committee members are appointed for an annual term subject to review and renewal. Depending upon college and department priorities, some committees may be left vacant in a given year. The standing committees of the department are currently as follows:

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

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

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

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

Promotion and Tenure Review Committee. The duties and make-up of the Department Promotion and Tenure Committees are described fully in the Fisher College Appointment, Promotion and Tenure Review Document. However, in recognition of the fact that the Department of Finance consists of two distinct sub groups, Business Law and Finance, it is the custom of the Department to make every reasonable effort to choose faculty from the corresponding faculty sub group to serve on the committee for a given promotion and tenure case (i.e., the department has a strong preference to have a Business Law Faculty serve on Business Law cases and Finance faculty serve on Finance cases).

Curriculum Committee. Recommendations for changes to the requirements for any majors or tracks will be proposed by a department curriculum committee, and, on approval of the department, will be forwarded to the appropriate college or university person or committee.

C Additional Consultation

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

Issues deemed more appropriate for individual consultation include, for example, communication of salary increases and work load assignments; discussion of such things as professional leaves of absence; dismissals of staff; and appointments and dismissals of lecturers. The outcomes of such consultation will be communicated to the faculty as a whole where appropriate.
VIII FACULTY MEETINGS

Meeting Schedule. The chair will provide to the faculty a schedule of department faculty meetings at the beginning of each academic term. The schedule will provide for at least one meeting per academic term and normally will provide for monthly meetings. A meeting of the department faculty will also be scheduled on written request of 25% of the department regular faculty. The chair will make reasonable efforts to have the meeting take place within one week of receipt of the request.

Agenda Items. A call for agenda items and completed agenda will be delivered to faculty by e-mail before a scheduled meeting. Reasonable efforts will be made to call for agenda items at least seven days before the meeting, and to distribute the agenda by e-mail at least three business days before the meeting.

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

Voting. Special policies pertain to voting on personnel matters, and these are set forth in the Fisher College Appointments, Promotion and Tenure document. For purposes of discussing department business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum will be defined as a simple majority of all faculty members eligible to vote.

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

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

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

IX DEPARTMENT FACULTY WORK LOAD POLICY

The university’s policy with respect to faculty teaching load is set forth in the Office of Academic Affairs Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.4.2, http://oaa.osu.edu/AOOP_PHandbook.php. The information provided below supplements these policies.

A. Annual Review of Regular Faculty.
Each regular faculty member will be evaluated annually in accordance with the college’s Faculty Responsibility Allocation Policy and the College Compensation Policy.

Work Allocation Recommendations: The Faculty Responsibility Allocation Policy requires each department to design and implement an internal evaluation system that is based on a rolling three year window of professional contributions. Such evaluation system must imbed an expectation that each
faculty member will earn a total number of work load credits that is appropriate for the corresponding agreement (9 credits in the case of a regular faculty member on a 100% agreement) where each actual section of teaching normally counts as one credit.

As approved by a vote of the regular faculty in the Department of Finance, it is the practice of the department to assign non-teaching work load credits as follows:

a) Service contributions are assessed in terms of their impact on department, college and university objectives and are measured relative to the corresponding number of teaching sections that would otherwise be delivered at an assumed college-wide average quality. The chair normally assigns numerical credits of 0, 1 or 2 sections, but can seek additional consideration from the dean’s office in special situations.

b) Research contributions are awarded 0, 1, 2 or 3 credits corresponding to ratings of below average, average, good, or excellent compared to peers in similar rank at other leading finance departments. In the case of a truly exceptional research record, the chair can request additional consideration from the dean’s office.

c) In the case of newly hired faculty, it is the custom of the department to contractually agree on specific teaching assignments for the first year, and occasionally beyond the first year if required by market conditions.

d) In the case of untenured assistant professors who are not covered by a teaching agreement, it is the custom of the department to assist with their professional development by recommending “investment” work load credits at the following rates: 1.5 credits in years 1 and 2; 1.0 for faculty in years 3 and 4; and, in the case of a faculty member who receives a favorable fourth year review, 0.5 in year 5.

e) In the case of tenured faculty members not covered by a contractual teaching agreement, credits are normally based on actual performance over the three-year rolling window. However, any faculty member can propose an alternative “developmental” work allocation plan. The alternative plan must be in writing and must clearly identify the tangible results that will be used to evaluate its effectiveness at the next annual review. If, in the judgment of the department chair, the proposed plan: i) is feasible given the total work load assigned to the department; and ii) would clearly enhance the objectives of the department, the college and the university, then the chair will forward the alternative proposal to the dean’s office for its consideration. Note that developmental credits are normally limited to no more than one credit per year and to no more than two consecutive years.

Compensation Recommendations: The College Compensation Policy requires two types of recommendations from the department chair: i) an assessment of each faculty member’s current compensation in relation to his or her assesses external value at competing schools as good or better than OSU; and ii) the assessment of quality of each faculty member’s “traditional scholarly contributions”. Rules for assessing potential external value are covered in the College Compensation Policy. The Finance Department, in combining the various dimensions of contributions, gives the most importance to research, followed by teaching, and finally service contributions.

Annual Performance Evaluation Letter: The department chair will communicate the composite and individual performance ratings to each faculty member through an annual performance evaluation letter followed by the opportunity for a one-on-one meeting.
B. Supplemental Reviews for Untenured Faculty.
There will be a supplemental review of every untenured faculty each year to determine if the probationary period is to be continued or if the faculty member should be offered a terminal one year contract. As in the case of other personnel matters, recommendations from the department are forwarded to the dean for his or her consideration. Procedures are described in the college Appointment, Promotion, and Tenure Review Document (see Appendix A).

C. Evaluations for Promotion and Tenure.
Evaluations for promotion and tenure are conducted in accord with criteria and procedures set forth in department Promotion and Tenure Review Document, the college Appointment, Promotion, and Tenure Review Document (see Appendix A) and university documents.

X POLICY ON 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, Volume 1, Chapter 2, Section 1.4.1, http://oaa.osu.edu/OAAP_PHandbook.php. The information provided below supplements those policies.

During on-duty quarters, faculty members are expected to be available for interaction with students, service responsibilities, and other responsibilities even if they have no formal course assignments that quarter. On-duty faculty members should not be away from campus for extended periods of time unless on an approved Special Research Assignment or other approved leaves (see section XIII). Faculty members are expected to schedule and hold office hours sufficient for meeting student needs in the classes assigned to them.

XI COURSE OFFERINGS AND TEACHING SCHEDULES
The department chair will annually develop a schedule of course offerings and teaching schedules in consultation with the faculty, both collectively and individually. While every effort will be made to accommodate the individual preferences of faculty, the department’s first obligation is to offer the courses needed by the students at times most likely to meet student needs.

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

It is the responsibility of the chair to arrange for the instructional coverage of courses not taught by regular faculty. Alternatives include part time adjuncts, Ph.D. students, full time non-tenure track faculty, and visiting faculty. In the case of non-tenure track faculty and visiting faculty, the chair will seek the advice of senior faculty prior to proposing an appointment to the dean. As appropriate, the chair will also seek the advice of interested faculty regarding the use of adjunct faculty and Ph.D. students.

To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs, reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided.
A scheduled course that does not attract the minimum number of students required by Faculty Rule 3335-8-17, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php) will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent quarter. 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 quarters of offering to assure that instructional expertise is always available for such courses.

**XII ALLOCATION OF DEPARTMENT RESOURCES**

The chair is responsible for the fiscal and academic health of the department and for assuring that all resources – fiscal, human, and physical – are allocated in a manner that will optimize achievement of department goals.

The chair will discuss the department budget at least annually with the faculty and attempt to achieve consensus regarding the use of funds across general categories. However, final decisions on budgetary matters rest with the chair.

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

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

The allocation of salary funds is discussed in the college [Appointments, Promotion and Tenure](http://oaa.osu.edu/OAAP_PHandbook.php) document (see Appendix A).

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

**XIII LEAVES AND ABSENCES**

The university’s policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook [http://oaa.osu.edu/OAAP_PHandbook.php](http://oaa.osu.edu/OAAP_PHandbook.php) 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 an Application for Leave form well in advance of 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 quarter is substantial. Rules of the University Faculty requires that the Office of Academic Affairs approve any discretionary absence of ten or more consecutive business days.
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, and dental 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.

C Unpaid Leaves of Absence


D Special Research Assignments


Untenured faculty will normally be provided an SRA during their probationary period. Reasonable efforts will be made to provide SRA opportunities to all productive faculty on a rotating basis subject to the quality of faculty proposals, including their potential benefit to the department, and the need to assure that sufficient faculty are always present to carry out department work.

E Faculty Professional Leave


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

1. The faculty member requesting a faculty professional leave must submit a proposed plan that describes how the leave will further his/her development.

2. Programmatic needs of the department must be met before a faculty professional leave can be approved.

3. A faculty professional leave proposal can be turned down if there are funding constraints.

4. The proposal’s “enhancement of research skills and knowledge” discussion will be the prime driver for approval.
5. The research track record of the applicant will be taken into account to assess the proposal and to determine whether the proposal is well-suited to achieve the goals of the applicant.

6. Generally, the department encourages its members to use faculty professional leave to visit leading research institutions around the world.

7. Proposals whereby a candidate wants to enhance research skills and knowledge while staying in residence are highly unlikely to be successful.

8. The department will process faculty professional leaves on the recommendation of the dean of the college, as part of the dean’s support of faculty providing administrative service to the college. These faculty professional leaves must be funded by the dean’s office.

The chair’s recommendation to the dean regarding a faculty professional leave proposal will generally be based on the quality of the proposal and the extent to which it satisfies the department criteria for faculty professional leaves as outlined above.

XIV SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY

The university’s policies with respect to supplemental compensation and paid external consulting are set forth in the Office of Academic Affairs Policies and Procedures Handbook, http://oaa.osu.edu/AOOP_PHandbook.php. The information provided below supplements these policies.

This department adheres to these policies in every respect. In particular, this department expects faculty members to carry out the duties associated with their primary appointment with the university at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation, including external consulting, must be approved by the department chair. Approval will be contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, the extent to which the supplemental compensation activity appears likely to interfere with regular duties, and the academic value of the proposed activity to the department. In addition, it is university policy that faculty may not spend more than one business day per week on supplementally compensated activities and external consulting combined.

Faculty who fail to adhere to the university’s policies in these matters will be subject to disciplinary action.

XV FINANCIAL CONFLICT OF INTEREST

The university’s policy with respect to financial conflicts of interest is set forth in the Office of Academic Affairs Policies and Procedures Handbook, http://oaa.osu.edu/OAAAP_PHandbook.php. A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator’s professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

Faculty members 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.
XVI GRIEVANCE POLICY

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.

A Salary Grievances

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the chair. The faculty 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 (the Office of Academic Affairs Policies and Procedures Handbook http://oaa.osu.edu/OAAP_PHandbook.pho).

Staff members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter should contact Consulting services in the Office of Human Resources (www.hr.osu.edu).

B Faculty Misconduct

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04, www.trustees.osu.edu/ChapIndex/index.php.

C Faculty Promotion and Tenure Appeals

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05, www.trustees.osu.edu/ChapIndex/index.php.

D Sexual Harassment


E Student Complaints

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

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 for Academic Misconduct (see www.oaa.osu.edu/coam/home.html and http://www.senate.osu.edu/committees/COAM/COAM.html).

Reviewed and approved by department faculty on

April 29, 2010

Ingrid M. Werner, Chair, Dept. of Finance

Date