

**PATTERN OF ADMINISTRATION  
FOR  
THE OHIO STATE UNIVERSITY  
AT LIMA**

**April 2020**

**SUBMITTED TO FACULTY EXECUTIVE COMMITTEE  
3/20/2020**

**APPROVED BY FACULTY ASSEMBLY 3/30/2020**

**APPROVED BY THE OFFICE OF ACADEMIC AFFAIRS**

**5/9/2020**

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## I. INTRODUCTION

This document provides a brief description of The Ohio State University at Lima as well as a description of its policies and procedures. It supplements the [Rules of the University Faculty](#), and other policies and procedures of the University to which the department and its faculty are subject. The latter rules, policies and procedures, and changes in them, take precedence over statements in this document.

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

## II. CAMPUS MISSION

The Ohio State University at Lima builds the future of western Ohio by developing leaders and providing access to the resources and strength of the state's top university. Students are able to interact closely with faculty, both in and outside of the classroom, in order to pursue intellectual growth and prepare themselves for the future. We mobilize the resources of The Ohio State University for the benefit of the communities we serve.

The Ohio State University at Lima is guided by several operating principles, including the following:

**Ohio State Quality:** All courses and curricula offered on the Lima campus maintain the same content and academic quality as those offered on the Columbus campus. All tenure track faculty hold the highest degree awarded by their profession, and all non-tenure track faculty hold at least a master's degree or its equivalent. Tenure track faculty are members of their OSU departments/schools and meet departmental/school criteria for promotion and tenure. Such faculty remain current in their professions by engaging in active scholarship and creative activity. Associated faculty meet the criteria for contract renewal through excellence in teaching.

**Student-Friendly:** Excellence in teaching is the standard on the Lima campus, and all faculty strive to achieve continuous improvement in working with students. Class size is kept relatively small, averaging 20-25 students per class. Faculty members help students learn both inside and outside of the classroom. Highly professional staff members support student learning in many ways such as maintaining facilities, advising students, tutoring, and providing administrative services.

**Broad and Open Access:** The Lima campus maintains Ohio State's Land Grant mission of making higher education accessible to all students. As such, we follow an open admission policy. The campus strongly values diversity and strives to engage the larger community in all its variety. Scholarships and other financial aid help many students surmount financial obstacles, and the campus's academic support services help students achieve academic success.

**Community Involvement:** The campus strives to create meaningful partnerships with the community, focusing especially on workforce and economic development, the arts and culture, and support for area schools. Many faculty and staff contribute time, money, and expertise for the good of the community. At the same time, community leaders help the campus assess community needs, and the community has contributed generously to campus campaigns. A community Board helps advise the campus Dean.

**Values:** Shared values are the commitments made by those on the Lima campus regarding how work will be conducted. Our values include excellence, collaboration, openness and trust, efficiency in our work, diversity in people and ideas, empathy and compassion, change and innovation, integrity & personal accountability. The Lima campus operates on the premise that all faculty and staff have unique talents that contribute to the pursuit of excellence. In addition to professional accomplishments, collegiality, civility and mutual respect are strongly held values (The attached AAUP statement [Appendix A] on professional ethics serves as a good summary of the professional ethical responsibilities of faculty members.). The Lima campus supports diverse beliefs and the free exchange of ideas and opinion and expects that faculty, staff, and students promote these values and apply them in a professional manner in all academic endeavors and interactions within and representing The Ohio State University at Lima.

### III. ACADEMIC RIGHTS AND RESPONSIBILITIES

In April 2006, the university issued a [reaffirmation](#) of academic rights, responsibilities, and processes for addressing concerns.

### IV. FACULTY

Faculty Rule 3335-5-19 <https://trustees.osu.edu/university-faculty-rules/3335-5> defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment. The tenured and tenure track faculty on the Lima campus are members of their respective Tenure Initiating Units (colleges, departments, or schools) whose teaching and service normally occur on the Lima campus. The Lima campus also employs associated faculty of various titles (senior lecturers or lecturers) and occasionally graduate teaching associates as teachers.

For purposes of governance, the faculty of this campus include tenured and tenure track faculty and associated faculty with compensated FTEs of at least 50% on the campus. Associated faculty, emeritus faculty, and tenure-track faculty joint appointees with FTEs below 50% on this campus may be invited to participate in discussions on non-personnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter. Details on membership in the Lima Faculty Assembly can be found at [https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima Constitution Faculty Assembly 04 2020.pdf](https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima_Constitution_Faculty_Assembly_04_2020.pdf).

The Lima campus has a Promotion and Tenure Policies and Procedures document that outlines in detail the policies and procedures on the Lima campus regarding promotion and tenure.

[https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima Promotion Tenure policies and procedures 4 2020.pdf](https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima_Promotion_Tenure_policies_and_procedures_4_2020.pdf).

## **V. STAFF**

Regional campuses have extensive responsibilities in the area of campus wide services. The regional campus staff play a central role in the delivery of services to our faculty, staff and students. In order to ensure a formal mechanism for staff input on the operations of the college The Ohio State University at Lima has created the Ohio State Lima Staff Advisory Committee. The mission of the Ohio State Lima Staff Advisory Committee will be to maintain an active and participatory line of communication with the Ohio State Lima community and to provide a forum through which Ohio State Lima staff can raise, discuss, and make recommendations on non- academic issues and activities. Details of the membership, officers and meetings of the staff advisory committee can be found at <https://lima.osu.edu/faculty-and-staff/lsac/> .

## **VI. ORGANIZATION OF THE LIMA CAMPUS**

An organizational listing for the Lima campus can be found at (<https://lima.osu.edu/assets/lima/uploads/HR/OrgGuideCampusDistribution.pdf>)

## **VII. OVERVIEW OF CAMPUS ADMINISTRATION & DECISION MAKING**

Policy and program decisions are made in numerous ways: by the Lima campus faculty as a whole, by standing or special committees of the Lima campus faculty assembly, or by the Dean and Director. The nature and importance of any individual matter determine how it is addressed. Lima campus 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. The Lima Campus embraces the benefits derived from diversity in our learning community, actively recruiting, selecting, and empowering all members to participate in the development and decision-making of the campus. Open discussions, both formal and informal, constitute the primary means of reaching decisions of central importance.

## **VIII. CAMPUS ADMINISTRATION**

### **A. Dean and Director**

The primary responsibilities of the dean and director are set forth in Faculty Rule 3335-3-29.1 <http://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html>. This rule requires the dean and director to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content, including a description of campus policies and procedures.

The key responsibilities of the dean and director, including some noted in Faculty Rule 3335-3-29.1 are paraphrased and summarized below.

- The major responsibility of each regional campus dean and director shall be that of

providing active leadership in the promotion, direction, and support of educational activities and research opportunities, in the maintenance of a high level of morale among the faculty, and in the encouragement of the spirit of learning among the students. In addition, the dean and director shall have administrative responsibility for the program of the regional campus subject to the approval of the executive vice president and provost or designee, the president, and the board of trustees. These administrative responsibilities shall include the duty:

- To have general administrative responsibility for the regional campus and to conduct the business of the regional campus efficiently. This broad responsibility includes the acquisition and management of funds, the hiring and supervision of faculty and staff, and the provision of adequate supervision and training for those members of the faculty and staff who may profit by such assistance.
- To evaluate faculty and staff members annually in accordance with both university and regional campus established criteria; to inform faculty and staff members when they receive their annual review of their right to review their primary personnel file maintained by the regional campus and to place in that file a response to any evaluation, comment, or other material contained in the file.
- To communicate to the regional campus community the educational programs, standards, and policies of the campus and the university.
- 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, by overseeing and reviewing student evaluations of teaching, including written and standard (SEI) evaluation by students of the course and instructor and periodic course review by faculty.
- To actively engage the community and to align academic offerings with community needs to strengthen support for regional campus programs and activities.
- To establish the extent and variety of course offerings on the regional campus in consultation with the executive vice president and provost or designee, the appropriate college deans, department chairs or school directors, and the faculty of the regional campus.
- To consult with the appropriate college dean and department chair or school director and to jointly offer employment to prospective faculty members assigned to the campus.
- To assist the appropriate college deans, department chairs, and school directors in the annual review of all faculty assigned to the regional campus. This assistance shall include a written evaluation of the faculty member's teaching, research, and service activities on and for the regional campus. The regional campus dean and director shall be consulted when a regional campus faculty member is being considered for promotion and tenure and may suggest such candidates to the appropriate chairs and directors.
- To prepare and administer the regional campus budget in consultation with the regional campus faculty budget committee; to consult with the appropriate chair or director regarding faculty salary recommendations; to be responsible for the management, maintenance, and security of the physical plant and

capital equipment of the regional campus.

- To develop, promote, and maintain educational, cultural, and service programs with approval of the appropriate university bodies and administrative officials. The dean and director shall review all such programs periodically.
- To consult with the executive dean for regional campuses on matters of common concern to the regional campuses.

Day to day responsibility for specific matters may be delegated to others, but the dean and director retains final responsibility and authority for all matters covered by this Pattern, subject when relevant to the approval of the executive vice president and provost, Office of Academic Affairs, and Board of Trustees.

Operational efficiency requires that the dean and director exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of campus academic goals, however, is most successful when all faculty participate in discussing and deciding matters of importance. The dean and director 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 dean and director will explain to the faculty the reasons for the departure, ideally before action is taken. The explanation shall be communicated to the faculty in writing, where possible.

#### **B. Associate Dean**

The associate dean is a member of the tenure-track faculty. S/he is delegated several responsibilities having to do primarily with the faculty and academic programs.

The operational responsibilities of the associate dean include but are not limited to:

- Hiring, supervising, evaluating (including responsibility for producing their annual performance reviews) and arranging for orientation of non-tenure track faculty
- Serving as the liaison to the academic departments and the Lima campus Academic Planning Committee
- Assisting faculty with academic needs and issues, including academic misconduct submissions
- Assisting with faculty searches
- Assisting students in addressing issues they may experience regarding faculty or classes
- Serving as the liaison with campus IT through OCIO
- Serving on the Academic Program Advisory Committee for the Office of Academic Affairs
- Developing and monitoring the budget for academic support; approval of purchase requests, travel, and absence forms for faculty

The associate dean reports directly to, and serves at the discretion of, the dean and director.

### **C. Assistant Deans**

The assistant deans can be a member of faculty or staff. The duties of the assistant deans are varied. One assistant dean deals primarily with developing an annual schedule and investigating new academic programs. The other assistant dean deals primarily with outreach and engagement, and retention.

The operational responsibilities of the assistant deans include but are not limited to:

- Constructing the Master Schedule in consultation with department coordinators, the advisors, and the leadership team
  - Investigating new academic programs in coordination with departments on the Lima and Columbus campuses
  - Coordinating, developing, and scheduling outreach and engagement
  - Assisting with student programs that aid retention and success
  - Special projects, like development of schedules for faculty searches, as assigned by the dean and director
  - Serving as the liaison with the Bookstore
  - Working with the associate dean on academic issues as needed.
- The assistant deans report directly to, and serve at the discretion of, the dean and director.

### **D. Executive Assistant to the Dean and Director**

The executive assistant to the dean and director coordinates on- and off-campus activities involving the dean and director. The executive assistant also organizes the agenda for meetings of the Ohio State Lima Advisory Board.

The executive assistant reports directly to, and serves at the discretion of, the dean and director.

### **E. Uniform Standing Committees**

Much of the development and implementation of the campus's policies and programs is carried out by standing administrative committees. The dean and director is an ex officio member of all Lima campus administrative committees and may vote as a member on all committees except the Promotion and Tenure Committee. The four uniform standing committees as described in the Constitution of the Lima Campus Faculty Assembly are: Academic Planning Curriculum Committee, Budget and Space Committee (for information about membership and duties of these committees, see [https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima By Laws Assembly 04 21 2020.pdf](https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima%20By%20Laws%20Assembly%2004%2021%202020.pdf) and [https://lima.osu.edu/faculty-and-staff/faculty-assembly/ committee-descriptions.html](https://lima.osu.edu/faculty-and-staff/faculty-assembly/committee-descriptions.html)); Promotion and Tenure Committee (see [https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima By Laws Assembly 04 21 2020.pdf](https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima%20By%20Laws%20Assembly%2004%2021%202020.pdf)); and Faculty Assembly Executive Committee (see [https://lima.osu.edu/assets/lima/uploads/Administration/ documents/Lima Constitution Faculty Assembly 04 2020.pdf](https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima%20Constitution%20Faculty%20Assembly%2004%202020.pdf)).

## **F. Additional Standing Committees**

There are several additional standing committees that play a role in administration of the Lima campus. They are the Professional Development Committee, Teaching Effectiveness Committee, Strategic Planning Committee, Honors Committee, Library Committee, Undergraduate Research and Mentoring Committee, and Faculty Salary Committee. Information about membership and duties of those committees may be found at [https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima By Laws Assembly 04 21 2020.pdf](https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima%20By%20Laws%20Assembly%2004%2021%202020.pdf) and <https://lima.osu.edu/faculty-and-staff/faculty-assembly/committee-descriptions.html>.

## **G. Other Committees**

All other committees mentioned in the most current by-laws of the Faculty Assembly of The Ohio State University at Lima shall be selected as specified in the by-laws and shall have such duties as are specified there: [https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima By Laws Assembly 04 21 2020.pdf](https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima%20By%20Laws%20Assembly%2004%2021%202020.pdf) and <https://lima.osu.edu/faculty-and-staff/faculty-assembly/committee-descriptions.html>

## **IX. UNIVERSITY SENATOR**

The university senator (or alternate) is the representative of the Lima Campus faculty to both the University Senate and to the faculty council. The senator or alternate attending a meeting is authorized to act as the representative of the Lima Campus faculty by participating in debate, casting votes, or accepting committee assignments or acting as an officer according to the rules of either the university senate or the faculty council. The university senator and alternate shall be selected in accordance with the most current by-laws of the faculty assembly of The Ohio State University at Lima. [https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima By Laws Assembly 04 21 2020.pdf](https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima%20By%20Laws%20Assembly%2004%2021%202020.pdf)

## **X. FACULTY MEETINGS**

The President of the Faculty Assembly calls and presides over all business meetings of the Faculty Assembly. The dean and director has charged the president of the Faculty Assembly to provide a schedule of campus faculty meetings at the beginning of each academic term. The schedule will provide for at least two meetings per academic term and normally will provide for monthly meetings. 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. A meeting of the campus faculty will also be scheduled on written request of 10% of the regional campus faculty. Reasonable efforts will be made to have the meeting take place within one week of receipt of the request. Minutes of faculty meetings will be distributed 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.

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

For purposes of discussing campus business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum will be as defined as in the Lima Faculty Assembly Constitution at [https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima\\_Constitution\\_Faculty\\_Assembly\\_04\\_2020.pdf](https://lima.osu.edu/assets/lima/uploads/Administration/documents/Lima_Constitution_Faculty_Assembly_04_2020.pdf)

Either the dean and director or one-third of all faculty 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 51% of all faculty eligible to vote. Balloting will be conducted by mail or e-mail when necessary to assure maximum participation in voting.

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

Lima regional campus 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 faculty 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.

## **XI. TEACHING**

### **A. Lima Regional Campus Faculty Teaching Load Policy**

The teaching load policy at the Lima Campus is set forth in the teaching load policy adopted by the Lima Faculty Assembly and the Office of Academic Affairs policy and guidelines.

The Lima teaching load policy is found at <https://lima.osu.edu/assets/lima/uploads/FacStaff/ApprovedFacultyTeachingLoadPolicy.pdf>.

### **B. Policy of Faculty Duties and Responsibilities**

The Lima Campus follows the Office of Academic Affairs required policy and guidelines on faculty duties and responsibilities. See [https://oaa.osu.edu/sites/default/files/links\\_files/HB1-2.pdf](https://oaa.osu.edu/sites/default/files/links_files/HB1-2.pdf).

### **C. Course Offerings & Teaching Schedules**

The associate and assistant deans 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 campus's first obligation is to offer the courses needed by students at times most likely to meet student needs. To assure classroom availability reasonable efforts must be made to distribute course offerings across the day and week. 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 will normally be cancelled and the faculty member 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.

## **XII. OUTREACH AND ENGAGEMENT**

In keeping with the Lima Campus mission to mobilize the resources of the University to benefit the communities we serve, faculty and staff are encouraged to identify areas of expertise and share those with the community when opportunities arise.

## **XIII. ALLOCATION OF CAMPUS RESOURCES**

The dean and director is responsible for the fiscal and academic health of the regional campus and for assuring that all resources, fiscal, human, and physical, are allocated in a manner that will optimize achievement of campus goals.

The dean and director will discuss the campus 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 dean and director.

## **XIV. LEAVES & ABSENCES**

The University's policies with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook, <https://oaa.osu.edu/policiesprocedureshandbook.html> and Office of Human Resources Policies and Forms website, <https://hr.osu.edu/policies-forms>. The information provided below supplements these policies.

### **A. Discretionary Absence**

Faculty and staff are expected to complete the eLeave form well in advance of a planned absence (e.g. as for attendance at a professional meeting or for vacation [for staff only]), to provide time for its consideration and approval and time to assure that instructional, administrative, staff, and other commitments are covered. Discretionary absence from duty is not a right and the dean and director retains the authority to disapprove a proposed absence when it will interfere with instructional or administrative 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 of ten or more days (see Faculty Rule 3335-5-08, <https://trustees.osu.edu/bylaws-and-rules/3335-5>).

## **B. Absence for Medical Reasons**

When absences for medical reasons are anticipated, faculty or staff members are expected to complete the eLeave form as early as possible. When such absences are unexpected, the faculty or staff member, or someone speaking for the faculty or staff member, should let the dean and director, the associate dean, or the direct supervisor know promptly so that instructional, administrative, and other commitments can be managed. Faculty and staff 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. See OHR Policy 6.27 for details: <https://hr.osu.edu/public/documents/policy/policy627.pdf>.

## **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

<https://hr.osu.edu/public/documents/policy/policy645.pdf>

## **D. Special Assignments**

<https://oaa.osu.edu/assets/files/documents/specialassignment.pdf>.

SAs are normally one semester in length and are designed to provide a faculty member time away from classroom teaching and some other responsibilities in order to concentrate effort on research. SAs are usually, but not necessarily, provided to faculty to develop a new research skill, initiate a new project, or complete an ongoing project. SAs of shorter duration may be provided for such purposes as facilitating travel related to research that is less than a semester in duration but more than a week or two provided classroom teaching is not disrupted.

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

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

## **E. Faculty Professional Leave**

A Faculty Professional Leave constitutes a more formal departure from regular academic duties than a Special Assignment and may be one or two semesters in length. FPLs involve salary reductions and other considerations established by the Ohio legislature and University Board of Trustees. Faculty considering an FPL should fully acquaint themselves with these policies before applying for leave.

Faculty members who desire an FPL should discuss the matter with the dean and director during their annual evaluation or as soon thereafter as possible. The dean and director will indicate whether submission of a full proposal articulating the purpose and nature of the FPL is appropriate. Because FPL proposals must be approved by the dean, Office of Academic Affairs, and Board of Trustees before they may be implemented, faculty should submit FPL proposals for a particular year no later than the end of Autumn Semester of the preceding year, except when the development of an unexpected opportunity precludes such timing. Detailed information concerning FPL on the Lima campus is provided in the Lima Campus Policies and Procedures for the Faculty Profession Leave (FPL) and Special Assignment (SA) document. [https://lima.osu.edu/assets/lima/uploads/FacStaff/FPL\\_SAPolicies.pdf](https://lima.osu.edu/assets/lima/uploads/FacStaff/FPL_SAPolicies.pdf)

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

## **XV. 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 OAA Policy on Faculty Compensation ([https://oaa.osu.edu/sites/default/files/links\\_files/facultycompensation\\_1.pdf](https://oaa.osu.edu/sites/default/files/links_files/facultycompensation_1.pdf)). Information on paid external consulting is presented in the university's Policy on Faculty Paid External Consulting (<https://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>).

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

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

Faculty with an administrative position (for example, dean and director, associate/assistant dean) remain subject to the Policy on Faculty Paid External Consulting and with appropriate approval, are permitted to engage in paid external work activities. However, faculty members with administrative positions are not permitted to accept compensation/honoraria for services that relate to or are the result of their administrative duties and responsibilities.

Should a campus 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 faculty member's TIU head and dean and director 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 TIU or campus reviews and approves the use of the textbook or material for use in the course taught by the faculty member.

## **XVI. FINANCIAL CONFLICTS OF INTEREST**

The University's policy with respect to financial conflicts of interest is set forth in the university's [Policy on Faculty Financial Conflict of Interest](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Financial-Conflict-of-Interest.pdf). ( <https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Financial-Conflict-of-Interest.pdf>).

A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any University duty or responsibility, including designing, conducting or reporting research.

Faculty members 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.

## **XVII. GRIEVANCE PROCEDURES**

Members of the campus with grievances should discuss them with the dean and director who will review the matter as appropriate and either seek resolution or explain why resolution is not possible. Below is a description of the procedures for the review of specific types of complaints and grievances

### **A. Salary Appeals**

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the dean and director. 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 dean and director and wish to pursue the matter may be eligible to file a more formal salary appeal <https://lima.osu.edu/assets/lima/uploads/FacStaff/RegionalCampusFacultySalaryAppealsPolicy> and <http://oaa.osu.edu/assets/files/documents/1.3HBAppeals.pdf>.

Staff members who are not satisfied with the outcome of the discussion with the Dean and Director and wish to pursue the matter should contact Employee and Labor Relations <https://hr.osu.edu/services/elr/> in the Office of Human Resources.

### **B. Faculty Misconduct**

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth

in Faculty Rule 3335-5-04. <http://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>.

### **C. Faculty Promotion and Tenure Appeals**

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05 <https://trustees.osu.edu/bylaws-and-rules/3335-5>.

### **D. Sexual Misconduct**

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

### **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 associate dean, they will first ascertain whether the students require confidentiality. If confidentiality is not required, the associate dean 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 associate dean 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. See Faculty Rule 3335-8-23, <https://trustees.osu.edu/bylaws-and-rules/3335-8>.

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 dean and director, associate dean, 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. <https://oaa.osu.edu/academic-integrity-and-misconduct>

The Dean & Director will appoint the director of Student Life as the Judicial Officer to administer and oversee the Student Code of Conduct processes and issues on the campus of The Ohio State University at Lima. The name of said officer, and The Ohio State University's Student Code of Conduct and related policies, will be made available to students by Academic Advisors, EXP 1100.01 instructors, and on file at the Student Activities Office.

### **F. Code of Student Conduct**

The Code of Student Conduct is faculty Rule 3335-23 <https://trustees.osu.edu/bylaws-and-rules/code>.

## **Appendix A**

### American Association of University Professors Statement on Professional Ethics

*The statement that follows was originally adopted in 1966. Revisions were made and approved by the Association's Council in 1987 and 2009.*

#### **Introduction**

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and the Committee on Professional Ethics, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure*, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*, or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.

#### **The Statement**

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to

ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.