

**Pattern of Administration
for
The Ohio State University
Department of Veterinary
Biosciences**

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Pattern of Administration Department of Veterinary Biosciences

I Introduction

This document provides a brief description of the Department of Veterinary Biosciences as well as a description of its guidelines 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 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 of Veterinary Medicine and the Office of Academic Affairs.

II Department Mission

a. Purpose: We discover the mechanisms of disease. We use this knowledge to educate others and to develop and utilize tools for disease diagnosis, treatment, and intervention to improve the health of animals and humans.

b. Beneficiaries: The beneficiaries of our work are

- those we train (professional and graduate students, advanced trainees such as residents, post-doctoral researchers, and fellows),
- those for whom we provide diagnostic service (patients and their owners, clinicians, researchers), and
- those whose health and well-being we improve through advances in veterinary and human medicine.

c. Deliverables:

Education:

- We help to provide the foundation of the pre-clinical and pathology curriculum to veterinary professional students.
- We help to develop the next generation of scientists and clinician scientists by educating and graduating PhD students.
- We advance the future of veterinary pathology by training and mentoring board-certified veterinary pathologists.

Research:

- We share our discoveries and advance the understanding of the mechanisms of disease by publishing our research findings as primary-authored research publications.
- We create a sustainable high-quality training environment for research through grant support from external funding sources, which provide indirect costs recovery (NIH/USDA/NSF etc.).

We commercialize our research so that it can be used for the diagnosis and treatment of disease.

Clinical services:

- We improve animal health and serve clients, clinicians, and researchers by providing timely and accurate laboratory diagnoses and results.
- We evaluate new diagnostic tools and treatments through the performance of clinical trials to improve clinical outcomes for both veterinary and ultimately human patients.
- We publish clinical findings to better identify and understand naturally occurring mechanisms of disease.
- We provide high quality case-based learning resources for students and trainees.

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](#) 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 includes tenure-track, clinical, and research faculty with compensated FTEs of at least 50% in the department.

The Department of Veterinary Biosciences makes clinical appointments. Clinical faculty titles are instructor of clinical Veterinary Biosciences, assistant professor of clinical Veterinary Biosciences, associate professor of clinical Veterinary Biosciences, and professor of clinical Veterinary Biosciences. The appointment cap on clinical faculty in relation to the total of tenure-track, clinical and research faculty is established in the [college pattern of administration](#). On October 13, 2006, the department faculty voted to extend governance rights to clinical faculty. Clinical faculty may vote in all matters of department governance except tenure-track appointment, promotion and tenure decisions.

The Department of Veterinary Biosciences makes research appointments. Research faculty titles are research assistant professor of Veterinary Biosciences, research associate professor of Veterinary Biosciences, and research professor of Veterinary Biosciences. Research faculty can comprise no more than 20% of the tenure-track faculty. On October 13, 2006, the department faculty voted to extend governance rights to research faculty. Research faculty may vote in all matters of department governance except tenure-track appointment, promotion and tenure decisions and clinical appointment and promotion decisions.

Associated and emeritus faculty 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.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this department is provided in the [Appointments, Promotion and Tenure Document](#).

V Organization of Department Services and Staff

General Administrative Assistance:
Administrative Associate to the Chair

Office Associate
Research Associate for Compliance and Equipment

Combined clinical and anatomic pathology residency/PhD program:
Education Program Coordinator

Centralized college services are provided for

- Finances
- Facilities
- Human Resources
- Business Transactions
- Information Technology
- Grants management

Anatomy Teaching:
Anatomy Instructor / Instructional Lab Supervisor

Anatomic Pathology service:
Anatomic Pathology Coordinator
Anatomic Pathology Laboratory Instructor / Instructional Lab Supervisor

Clinical Pathology service
Technical personnel are supported by the Department of Veterinary Clinical Sciences

Shared Research Resources:

Comparative Pathology and Mouse Phenotyping Service:
Technical personnel are supported by VBS and the Comprehensive Cancer Center

Clinical Trials Office:
Technical Personnel is supported by CVM, the Comprehensive Cancer Center and the Center for Clinical and Translational 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

A Chair

The primary responsibilities of the chair are set forth in Faculty Rule [3335-3-35](#). This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule [3335-6](#), also requires the chair to prepare, in

consultation with the faculty, a document setting forth policies and procedures pertinent to appointments, reappointments, 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 preparation of a budget for college approval, management of funds and the hiring and supervision of faculty and staff.
- To plan with the members of the faculty and the dean of the college a progressive program; to encourage research and educational investigations.
- To evaluate and improve instructional and administrative processes on an ongoing basis.
- To evaluate faculty members annually in accordance with both university and college established criteria; to inform faculty members when they receive their annual review of their right to review their primary personnel file maintained by college human resources 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 tenured faculty, appointments, reappointments, promotions, dismissals, and matters affecting the tenure of members of the department faculty to the dean of the college, in accordance with procedures set forth in Faculty Rule [3335-6](#) and this department's Appointments, Promotion and Tenure Document.
- To see that all faculty members, regardless of their assigned location, are offered the departmental privileges and responsibilities appropriate to their rank; and in general to lead in maintaining a high level of morale.
- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.
- To prepare, after consultation with the 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 dean, 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 reasons for the departure, ideally before action is taken. Regular communication will be used to achieve transparency in decision making.

B Other Administrators

Administrative Staff

Administrative Associate

Office Associate

Education Program Coordinator

Section head, Anatomic Pathology

Section head, Clinical Pathology

Director, Comparative Pathology and Mouse Phenotyping Shared Resource

Director, Clinical Trials Office

C Committees

Much of the development and implementation of the department's policies and programs is carried out by standing (faculty advisory committee, committee of eligible faculty) and ad hoc committees (e.g. search committees). The chair is an ex officio member of all department committees and may vote as a member on all committees except the Committee of Eligible Faculty.

C.1 Faculty Advisory Committee

The faculty advisory committee (FAC) is a representative body of the faculty and serves as an advisory group to the chair regarding matters of Department business and other issues. The FAC is composed of five faculty members elected by ballot vote of all tenure-track and clinical faculty members to serve three-year terms. In election years, each eligible voting faculty member will cast ballots for the number of vacant three-year terms open that year. FAC chairs will be elected by the committee members at the first meeting of the FAC after July 1st. The term as chair will be limited to the remaining year(s) of their current three-year term. FAC members including the chair may serve more than one term. Nominations for all eligible seats on the FAC usually will be solicited during the regular Department faculty meetings so that eligible faculty can cast votes and elections are concluded so that terms of office can begin July 1st.

Among its responsibilities, the FAC will serve in an advisory role regarding budget recommendations, assignment of Department resources and support services, awarding of FPL leaves, and appointment procedures for faculty.

The FAC will meet periodically with the chair as needed to discuss issues or gain administrative perspective of issues, but can meet without the chair present. The FAC chair (in consultation with the Department Chair and the FAC membership) determines the issues to be addressed and sets the meeting date and time. FAC meetings are open to all department faculty and attending faculty may participate in the discussions. Agenda items will be circulated to all members of the Department faculty up to one week in advance of the FAC meeting. The FAC chair or a designated member will keep minutes of each meeting. These minutes will be reviewed, amended if needed, and approved in a timely manner before distribution (e.g., within 2 weeks of the meeting) to all faculty. The FAC may conduct some business matters via email or by telephone to expedite decisions or gain the opinions of members who cannot come to a face-to-face meeting. Any business conducted electronically or by telephone will also be included in minutes and distributed to the entire faculty. Matters of a highly personal nature will not be distributed as part of the minutes but will be kept as part of the permanent committee record.

C.2 Committee of Eligible Faculty

The Committee of Eligible Faculty (CEF) is the departmental faculty standing committee (formerly called the departmental promotion and tenure committee) that evaluates potential or current faculty as described in the processes for appointment, annual review (particularly 4th year review), promotion and tenure for faculty appointments and provides feedback to the chairperson.

CEF membership will include all tenure-track, clinical and research faculty. Attendance at the meetings will be restricted to those faculty holding an equal or higher rank than the candidate being considered and be subject to limitations based on faculty rules [3335-7-04](#) and [3335-7-37](#), which specify governance rights for clinical and research faculty.

Selection of chair and procedural oversight designee are detailed in the A, P&T document.

VIII Faculty Meetings

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 semester 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 distribute the agenda by e-mail at least five business days before the meeting. Agenda items will be requested at the meeting and can be send to the department chair at any time. A meeting of the department faculty will also be scheduled on written request of 25% of the department faculty. The chair will make reasonable efforts to have the meeting take place within one week of receipt of the request. The chair will place minutes of faculty meetings on CVM community—within seven days of the meeting if possible.

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

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. When conducting a ballot by mail or email, faculty members will be given one week to respond.

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 Rules of Order will be invoked when more formality is needed to serve these goals.

IX Distribution of Faculty Duties and Responsibilities

The Office of Academic Affairs requires departments to have guidelines on the distribution of faculty duties and responsibilities (See the OAA [Policies and Procedures Handbook](#), Volume 1, Chapter 2, Section 1.4.3).

During on-duty periods, faculty members are expected to be available for interaction with students, research, and departmental meetings and events even if they have no formal course assignment. On-duty faculty members should not be away from campus for extended periods of time unless on an approved leave (see section XII) or on approved travel.

The guidelines outlined here do not constitute a contractual obligation. Fluctuations in the demands and resources of the department and the individual circumstances of faculty members may warrant temporary deviations from these guidelines. Assignments and expectations for the upcoming year are addressed as part of the annual review by the department chair.

A full-time faculty member's primary professional commitment is to Ohio State University and the guidelines below are based on that commitment. Faculty who have professional commitments outside of Ohio State during on-duty periods (including teaching at another institution; conducting research for an entity outside of Ohio State; external consulting) must disclose and discuss these with the chair in order to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the OAA [Policy on Faculty Conflict of Commitment](#).

A Tenure-track Faculty

Tenure-track faculty members are expected to contribute to the university's mission via teaching, scholarship, and service as outlined in the college metrics documents. When a faculty member's contributions decrease in one of these three areas, additional activity in one or both of the other areas are required. Reduction in research activity will be addressed as outlined in the college research metrics.

A1 Teaching

All tenure-track faculty are expected to contribute to the department's teaching in both the veterinary and graduate curriculums. Faculty members are also expected to advise veterinary and graduate students and supervise independent studies and thesis and dissertation work.

Adjustments to the standard teaching assignment may be made in accordance with the college teaching metrics document.

The chair is responsible for making teaching assignments on an annual basis, and may decline to approve requests for adjustments when approval of such requests is not judged to be in the best interests of the department. All faculty members must do some formal instruction and advising over the course of the academic year.

A2 Scholarship

All tenure-track faculty members are expected to be engaged in scholarship as defined in the department's [Appointments, Promotion, and Tenure Document](#). Scholarship will be based upon a program of research that leads to national and international recognition. The focus and scope of a faculty member's research program should reflect individual interests as well as the

Department's strategic research goals. Faculty members are expected to obtain extramural and intramural funding to support their research programs. Research grant proposals will be submitted to national and local agencies on a regular basis and declined grants will be revised for resubmission.

Over a four-year rolling period a faculty member who is actively engaged in scholarship will be expected to publish regularly in high quality peer-reviewed journals, this being the primary indicator of productivity. Faculty members will document their contribution when there are multiple authorships. Consideration will be given to the type of research reported when evaluating productivity and quality since some disciplines require more resources and time to conduct and publish results. Edited textbooks, book chapters, and review articles also represent scholarly work. Faculty members are also expected to seek appropriate opportunities to obtain patents and engage in other commercial activities stemming from their research. All faculty members or their graduate students should present the results of their research at regional, national, or international meetings or workshops on a regular basis to solicit greater peer-review and enhance the overall recognition of the individual's and the Department's research programs.

Collectively, the level of research activity and the associated scholarship for a tenure track faculty is 50% at minimum. Examples of activities that are included under research and scholarly activities include, but are not limited to:

- experimental design
- grant writing
- laboratory bench time
- data analysis
- manuscript preparation
- direction of research centers
- research presentations at local, regional, national and international meetings or at academic/research institutions
- preparation of annual and final reports
- initiating and maintaining collaborative research arrangements

The chair can negotiate with faculty members an increase in the research assignment if necessary to complete research objectives on funded extramural grants. A decrease in the percent effort on research must be negotiated in accordance with the college research metrics. If there is a prolonged decline in research productivity this must be coupled with either an increase in teaching roles that are essential to the professional degree curriculum in the college of veterinary medicine or to the graduate program, or an increase in a service level activity that significantly enhances the department's mission, and requires approval by the Chair and the Dean. In these instances, efforts should be made to exploit opportunities for scholarship within the realm of teaching and/or service.

A3 Service

Faculty members are expected to be engaged in service to the department, university, profession and community. Typically this will include service on department/college committees and committees outside of the college. The importance of contributions to administrative service typically increase with seniority. This pattern can be adjusted depending on the nature of the assignment (e.g. service as committee chair, service on a particularly time-intensive committee, organizing a professional conference, leadership in an educational outreach activity, service in an

administrative position within the department, college, or university). All faculty members are expected to attend and participate in faculty meetings, recruitment activities, and other department events.

B. Clinical Faculty

Clinical faculty members are engaged primarily in teaching activities related to professional practice (or medical specialty) and service that is based upon that medical specialty. The latter includes diagnostic service in clinical and anatomic veterinary pathology, and research support. Through these activities, clinical faculty will contribute to the scholarly mission of the Department by engaging in collaborative research, publishing peer reviewed manuscripts in scientific and professional journals, publishing book chapters and books, making presentations at scientific and/or professional meetings, and by publishing educational innovations.

B1. Teaching

Teaching assignments would be similar to those above for tenure-track faculty, but with particular emphasis on teaching areas related to a professional discipline such as veterinary pathology. Clinical faculty members have important roles in teaching and may have a greater percentage of their time and effort devoted to the educational mission of the Department. For clinical faculty, the percent time devoted to teaching will be defined by the department chair in accordance with the needs and mission of the department. Clinical faculty will apply for category M status with the graduate school so that they may participate in graduate advisory committees.

B2. Scholarship

Clinical faculty members will engage in scholarly activity, which may include activities other than traditional research. Scholarly activities may include but are not limited to publication of collaborative research, case reports, retrospective and prospective studies, and teaching innovations in peer reviewed scientific or professional journals. Scholarship also includes publication of books, book chapters, technical bulletins, and writing for practice-oriented audiences.

B3. Clinical Service

For Clinical Track faculty, the percent time devoted to diagnostic and research-support service will be defined by the department chair in accordance with the needs and mission of the department and be congruent with the faculty member's letter of offer or current agreed upon service responsibilities.

B 4. Administrative Service

See A 3.

C Research Faculty

Research faculty members are expected to contribute to the university's mission via research.

In accord with Faculty Rule [3335-7-34](#),

a research faculty member may, but is not required to, participate in limited educational activities in the area of his or her expertise. However, teaching opportunities for each research track faculty member must be approved by a majority vote of the TIU's tenure-track faculty. Under no circumstances may a member of the research faculty be continuously engaged over an extended period of time in the same instructional activities as tenure-track faculty.

Teaching and service activities by research faculty may not exceed 5%. Research expectations are similar to those for the tenure-track, albeit proportionally greater since 95-100% of effort for research faculty members is devoted to research. Specific expectations are spelled out in the letter of offer.

D Clinical Faculty Appointment Cap and Governance Rights

The percentage of clinical faculty is regulated by the College Pattern of Administration. Any clinical faculty member appointed by the college may stand for election to serve as a representative in the University Senate subject to representation restrictions noted in the University Faculty Rules ([Faculty Rule 3335-7-11\(C\)\(2\)](#)).

E Associated Faculty

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

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

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

F Parental Modification of Duties

The Department of Veterinary Biosciences strives to be a family-friendly unit in its efforts to recruit and retain high quality faculty members. To this end, the department is committed to adhering to the College of Veterinary Medicine's guidelines on parental modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption. See the [college pattern of administration](#) for details.

The faculty member requesting the modification of duties for childbirth/adoption and the department chair should be creative and flexible in developing a solution that is fair to both the individual and the unit while addressing the needs of the university. Expectations must be spelled out in an MOU that is approved by the dean.

G Special Assignments

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

Untenured faculty will normally be provided a SA for research for one semester, during their probationary period. Reasonable efforts will be made to award SA opportunities to all other faculty

members subject to the quality of faculty proposals, including their potential benefit to the department or university, and the need to assure that sufficient faculty are always present to carry out department work. The Faculty Advisory Committee will evaluate all SA proposals and make recommendations to the chair. The chair's recommendation to the dean regarding an SA proposal will be based on the quality of the proposal and its potential benefit to the department or university and to the faculty member as well as the ability of the department to accommodate the SA at the time requested.

X Course Offerings and Teaching Schedule

The college will annually develop a schedule of course offerings for veterinary students, the department chair will develop a schedule of course offerings and teaching schedules in consultation with the faculty, both collectively and individually, for undergraduate and graduate education as appropriate. While every effort will be made to accommodate the individual preferences of faculty, the college's and department's first obligation is to offer the courses needed by students at times and in formats, including on-line instruction, most likely to meet student needs. To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs, reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students required by Faculty Rule 3335-8-16 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.

XI Allocation of Department Resources

It is the responsibility of the Department chair, after appropriate consultation with the FAC, to equitably and fairly distribute Department services and resources (fiscal, human and physical) in a manner that assures the fiscal and academic health of the department and optimizes the achievement of departmental 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.

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

The following categories are examples (versus an all-inclusive listing) of key resources that facilitate the department's teaching, research and service missions:

A. Research Space

Faculty members shall be assigned research space according to the needs of their research program and the availability of space. The chair of the Department and the Associate Dean for Research and Graduate Studies administer research space for departmental faculty, providing a regular assessment of efficient use. It is the responsibility of the Department chair to negotiate research space with each faculty member and the Associate Dean for Research and Graduate Studies according to the guidelines established by college administrative policies.

In general, research space assignments are based upon the following priorities:

- principal investigators of extramurally funded research in which there is indirect cost recovery
- newly hired faculty approved by the OSU Office of Research who have substantial research time commitments outlined in their letter of offer and who are supported by Department start up packages compatible with this research commitment
- formerly funded principal investigators who are actively seeking renewal of extramural funding or new research grant support

It is anticipated that these faculty will provide the chair or Faculty Advisory Committee with materials (copies of grant proposals, critiques, etc.) that document this effort. Whenever possible, a period of two non-funded years shall be granted when attempts to obtain extramural funding are sustained.

- operation of shared research resources

Shared research space assignments may be made for faculty engaged in research that is supported by intramural funds (or other funding not associated with indirect cost recovery) or collaborative research in which the faculty person is a co-investigator.

Because of the limited availability of research space, its utilization will be reviewed and justified regularly at the time of annual faculty reviews.

B. Office Space

Priorities for office space include the following:

- faculty
The allocation of office space will include considerations such as productivity, achieving proximity of faculty to research, teaching or service laboratories, and enhancing programmatic synergy.
- graduate students and post doctoral fellows
Assignments will be coordinated with the program coordinator, Comparative and Veterinary Medicine Graduate Program.
- staff supporting administrative, teaching or service functions
The allocation of office space will include considerations of proximity to research, teaching and service laboratories, or locations conducive to interaction with constituents.

Office space for emeritus and associated faculty or other staff will be provided based upon necessity and availability.

C. Shared Research Resources

Core groups are designed to manage resources effectively and provide coordinated approaches to services that assist in the research, education, and service missions (see section V). These cores have plans of operation that are academically driven, but budget sensitive. A faculty director of each core service develops operational policies and collects data used in financial decisions related to renovations, space utilization, and equipment purchases that are designed to improve services. These laboratories assess user charges to recover costs of personnel, supplies and service contracts. Websites outline the services and fees. Core directors present annual updates to the Chair of operational data.

D. Faculty Interim Research Support

The college provides faculty interim research support, and the departmental chair will negotiate on behalf of the faculty. Requests for faculty interim research support (bridge funding) are made in writing to the departmental chair. The application should include the following:

- statement of financial need
- a budget indicating how the research support will enhance the probability of extramural funding (e.g., providing support for the generation of key preliminary data)
- when applicable, a budget indicating how the requested amount will assure the timely and successful completion of a graduate student's dissertation or the transfer of that graduate student to another program
- evidence of progress made on current grant applications (e.g., summary statements from grant review panels)
- plans for new grant applications and the duration of support that is required

Requests are evaluated based upon availability of funds, history of interim research support and repayment, faculty contribution to the departmental release time account, and any faculty-managed funds that are in deficit. Limits will be placed upon the total amount requested in order to optimize potential for repayment through new grants. Requests will initially be evaluated by the FAC, which then makes a recommendation to the department chair.

E. Laboratory Personnel

Funding of research personnel is the responsibility of the faculty member with the exception of positions associated with shared research resources (see Section V) or as part of a start-up for junior (probationary) faculty. Personnel assigned to laboratories of non-probationary faculty may be supported by the department based upon financial need, active pursuit of extramural funding by the faculty member, and available departmental resources. Consideration of funding for these latter positions will include consultation with the faculty advisory committee, with the final decision resting with the department chair.

F. Travel Funds

Faculty are expected to cover costs of professional and/or scientific meetings through release time accounts, earning accounts, or research funds unless otherwise indicated on their letter of offer for the position. When such funds are not available, faculty may make a written request to the department chair. Requests should include statement of financial need, proposed budget and purpose of the meeting. Priority for funding are meetings where the faculty is making a presentation that advances the education, research and/or service missions of the department.

G. Graduate Tuition and Fees

Payment of graduate tuition and fees is the responsibility of the graduate faculty mentor. College funds are available to subsidize this cost in the pre-candidacy years of a student's program. The Associate Dean for Research and Graduate Studies is responsible for managing this college fund. Faculty must apply for the subsidy annually using the "college tuition and fee request form". Each request covers the academic year, starting summer semester through spring semester of the following calendar year. Awards will be based upon availability of funds. To enhance this resource for graduate student tuition and fee payments, all faculty members are strongly encouraged to submit the cost of graduate student tuition and fees in grant proposals where allowed by the

granting agency. Faculty are also encouraged to apply for training grants whose budgets cover tuition and fees. The non-resident portion of graduate tuition is centrally funded by the University if the student is appointed as a GRA.

XII. Responsibilities of the Principal Investigators for Sponsored Research

The following apply to all faculty seeking or managing sponsor funded projects and emphasize key aspects Ohio State University Office of Sponsored Programs (OSP) policies and resources available to assist a principal investigators (PI). Complete information on OSP and other grants management policies can be found at: (<http://osp.osu.edu/>).

After a sponsored agreement has been accepted the OSP assigns a project number. The PI is then responsible for initiating all project-related transactions. The PI is also responsible for submitting requisitions for any equipment, supplies, and services needed for the project.

A PI must periodically review all of their sponsored research grants and provide correct personnel assignments and percent effort. The latter should be aligned with the Ohio State University Authorization to Seek Off-Campus Funding as outlined on the PA005 forms. Research staff are hired by requesting that the Human Resources Professional (HRP) in the college enter the appropriate job description into the university's HR system for review and approval. The HRP will also enter appointments into the HR system. The PI and the HRP should work together to ensure that during the course of the project, personnel appointments are appropriately updated and the funds are in place to support personnel assigned to the project. Prior to undertaking any sponsored project, it is important that all PIs understand the administrative requirements of the project.

The PI must review the project expenditures and commitments and make sure that they do not exceed the project budget. Adjustments should be made in spending rates to provide a final target of unspent balance on all grants to within 25% of the annual budget. To support this activity the OSP provides current project financial data as well as month end financial statements through the PI Portal. College assistance is also provided through the Grant Support Office. If a project ends with an over expenditure, the OSP transfers the direct cost portion of the over expenditure to the PI's department. Unspent funds that are in excess of 25% of the budget funds will require justification to retain these from NIH.

A. Release Time Appointments

Release time appointments occur when a department and college approve the *release* of an individual to enable them to participate on one or more sponsored projects. The release time appointment has no effect on the basic pay arrangement of the employee. Release Time consists of two types: sponsor and cost sharing.

Sponsor: Refers to time charged against project funds for which the university is reimbursed through the OSP.

Cost-Sharing: Refers to time reported on the sponsored program for which the university is not reimbursed (i.e., allocated to the Ohio State University contribution portion of the monthly Project Financial Summary).

Faculty must request release time funded by the sponsor unless prohibited by regulations of the funding agency, or if the annual direct costs of the grant are restrictive. The PI should indicate a minimum of 10% effort as the release time amount. Fifty percent of the funds will be retained by the college. Thirty-seven per cent of the funds will be allocated to a release time account controlled by the PI and used to enhance the PI's individual research program. Thirteen per cent is deposited in a departmental account that is managed by the department chair, and used to enhance general research efforts.

Deviations from this policy include an increase in the cost-share for a release time appointment when research funds are limiting (e.g., when the annual direct costs are limited in amount). Justification for cost-share must be made on the PA005. Sponsor funded release time may also be used for off-duty salary support as per [university policy](#).

B. Audit Requirements

Sponsored agreements funded with public money (federal, state, and local government awards; subcontracts under government prime grants and contracts) are subject to full review of all project activity (program and financial) by auditors. All project activities must comply with sponsor terms and conditions and with all applicable regulations. The electronic Time and Effort Reporting System (e-Cert) resides on the OSP web site and produces an electronic Time and Effort Report detailing each employee's compensated and cost-share effort(s) for sponsored research. These reports must be certified by the primary investigator of the project. Sponsored research effort is calculated as a percentage of an individual's salary/wages. One person may have multiple appointments listed on the report and the percentages may vary on a project-by-project basis. The Department faculty involved in sponsored research will be required to conform to all current federal guidelines and policies administered by the University, the College, and the Department.

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](#) and Office of Human Resources [Policies and Forms website](#).

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 on the [Application for Leave form](#).

B Absence for Medical Reasons

When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the 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](#).

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](#).

D Faculty Professional Leave

Information on faculty professional leaves is presented in the OAA [Policy on Faculty Professional Leave](#). The information provided below supplements these policies.

The department's Faculty Advisory Committee will review all requests for faculty professional leave and make a recommendation to the department chair based on the departmental organizational constraints and faculty professional development. 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.

XIV Supplemental Compensation and Paid External Consulting

Information on faculty supplemental compensation is presented in the OAA [Policy on Faculty Compensation](#). Information on paid external consulting is presented in the university's [Policy on Faculty Paid External Consulting](#). The information provided below supplements these policies.

A. Supplemental Compensation

Supplemental compensation from University, College, or Department funds is for temporary work clearly beyond the faculty member's normal assignments, in an amount appropriate to the allocation of time necessary to complete the extra assignment. The extra assignment should be non-recurring and clearly limited in time and scope. Supplemental compensation also includes off-duty appointments for 9-month faculty. Supplemental compensation for 9-month faculty is limited to 2/9 of base from university sources and 2.5/9 from external sources with a maximum of 3/9 total. Off-duty compensation is made in equal payments across the semester. Nine-month faculty earning supplemental compensation are expected to be on duty during these three months.

B. Paid External Consulting

As outlined in the OAA policy, guidelines and reporting requirements for paid external consultation do not apply to professional activities that reflect normal and expected public service activities of faculty and that do not entail compensation beyond reimbursement for expenses and/or a nominal honorarium. These exempt activities include: appearance on the program of a scholarly meeting of the faculty member's professional (specialty)/scientific peers; participation in the advisory or peer review process for foundations, professional societies, or not-for-profit boards; participation in a faculty member's professional society, board, or college; and reviewer activities or consultation for governmental and accreditation agencies. Also exempt are outreach activities, defined as professional activity, advice, or consultation provided by the faculty member on behalf

of the University, CVM or department. Outreach activities are delivered as part of the faculty member's normal salaried activities, and without additional personal compensation directed to the faculty member. Paid external compensation may include a faculty member's involvement in continuing education (CE) forums, such as lectures or seminars presented within the person's field of expertise that provide professional education to others in return for personal compensation. External CE may overlap with outreach when the participants are citizens of the state of Ohio.

Faculty members are encouraged to engage in paid external consulting to the extent that these activities are clearly related to the mission of the University and the expertise of the faculty member, provide direct or indirect benefits to the University and/or CVM, and do not entail a conflict of interest as defined in the University Conflict of Interest Policy. Historically, departmental faculty members have engaged in two basic classes of external paid consulting: *research services support* to help academic, government, or industrial collaborators define and develop novel biomedical concepts and treatments; and *diagnostic services* that provide case-related pathology opinions. For research services support, faculty are strongly encouraged to conduct their interactions with external sponsors through the Business & Industry Contracts, Office of Sponsored Programs. In fact, this structure is required if University facilities and other resources will be used in support of the consulting activity. For this arrangement, the contract is made between the sponsor and the University, with the consulting faculty member designated as the University's representative for the contract. Revenue is received by the University and deposited in an earnings account controlled by the faculty member rather than there being direct personal compensation to the faculty member by the sponsor. Similar arrangements shall be developed for diagnostic services that will occur on a recurring basis.

For other instances of consulting, a Paid External Consulting Approval Form will be submitted for each consulting arrangement. Consultation that is performed off-site requires an application for leave.

C. Balancing Primary Appointment Duties with Paid Consulting Activities

The 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 external income-enhancing opportunities. All activities providing supplemental compensation or paid external consultation must be approved by the Department Chair regardless of the source of compensation. Approval will be contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the Department. *The required approvals must be secured before the extra work is carried out* in order for the faculty member to be compensated for the work. In addition, it is university policy that faculty may not spend more than one business day per week on average on supplementally compensated activities and external consulting combined. Faculty holding clinical, research, or tenure-track appointments at less than 50% who wish to engage in paid external consulting must do so during non-working hours or take vacation time or pre-approved unpaid leave, if available.

The department chair is responsible for working with faculty to assure that external activities are of proper scope and duration, so as to be approvable. If the Department Chair determines that the requested activity constitutes either a conflict of commitment or an unmanageable conflict of interest, approval to engage in the activity will be denied. In addition, college administrators may terminate approval for an on-going activity when the activity results in a conflict of commitment or

conflict of interest. A faculty member may appeal a decision by the Department Chair to the Dean. The Dean will ultimately resolve any conflicts.

Faculty who fail to adhere to the University's policies on these matters, including seeking approval for external consulting prior to beginning the work, will be subject to disciplinary action in accordance with the procedures set forth in Faculty Rule [3335-5-04](#).

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

XV Financial Conflicts of Interest

Information on faculty financial conflicts of interest is presented in the university's [Policy on Faculty Financial Conflict of Interest](#). A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting or reporting research.

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

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

XVI Grievance Procedures

Members of the department with grievances should discuss them with the chair who will review the matter as appropriate and either seek resolution or explain why resolution is not possible. Content below describes procedures for the review of specific types of complaints and grievances.

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 or staff member should provide documentation to support the complaint and take into account the following reasons for differences in salary:

- differences in years of service and years in rank
- productivity in teaching, research, and service
- centrality of the person's work to the academic unit
- past/present administrative duties
- market factors
- other factors set forth as legitimate bases for salary determination in this document or otherwise consistently communicated and applied in hiring and merit salary increase

decisions

When appropriate, salary equity adjustments will be funded from annual raise monies available during the annual raise cycle to the extent possible.

Faculty members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter may be eligible to file a more formal salary appeal (see the Office of Academic Affairs [Policies and Procedures Handbook](#)).

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

B Faculty Misconduct

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule [3335-5-04](#).

C Faculty Promotion and Tenure Appeals

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

D Sexual Misconduct

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

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 on Academic Misconduct](#) (see also <http://senate.osu.edu/committees/academic-misconduct>).

F Code of Student Conduct

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

G Professional Student Honor Code

The student honor code for veterinary students can be found at: [Honor Code](#)

**Alphabetical List of Hyperlinks Appearing in Ohio State University
Patterns of Administration
and
Appointments, Promotion, and Tenure Documents**

Academic Rights and Responsibilities Reaffirmation:

<https://oaa.osu.edu/rightsandresponsibilities.html>

Affirmative Action, Equal Employment Opportunity and Non-Discrimination/Harassment:

<http://hr.osu.edu/policy/policy110.pdf>

American Association of University Professors' Statement on Professional Ethics

<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>

Application for Leave form: <https://eleave.osu.edu>

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

Committee on Academic Misconduct: <https://oaa.osu.edu/coam.html> and

http://senate.osu.edu/?page_id=183

Faculty Rule 3335-3 (administration): <https://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html>

Faculty Rule 3335-5 (governance): <https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>

Faculty Rule 3335-6 (tenure-track faculty appointments):

<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>

Faculty Rule 3335-7 (clinical and research faculty appointments):

<https://trustees.osu.edu/rules/university-rules/chapter-3335-7-rules-of-the-university-faculty-concerning-clinical-faculty-appointment-reappointment-and-nonreappointment-and-promotion.html>

Faculty Rule 3335-8 (instruction): <https://trustees.osu.edu/rules/university-rules/chapter-3335-8-instruction.html>

Office of Academic Affairs Governance Documents Webpage:
<http://oaa.osu.edu/governance>

Office of Academic Affairs *Policies and Procedures Handbook*:
<http://oaa.osu.edu/sites/default/files/uploads/handbooks/policies-and-procedures/full-handbook.pdf>

Office of Human Resources Employee and Labor Relations: <https://hr.osu.edu/services/elr/>

Office of Human Resources Employment Services: www.hr.osu.edu/

Office of Human Resources Policies and Forms: <https://hr.osu.edu/policies-forms>

Policy 1.15 (sexual misconduct): <https://hr.osu.edu/public/documents/policy/policy115.pdf>

Policy 6.27 (paid leave): <https://hr.osu.edu/public/documents/policy/policy627.pdf>

Policy 6.45 (unpaid leave): <https://hr.osu.edu/public/documents/policy/policy645.pdf>

Policy on Equal Opportunity: <https://hr.osu.edu/public/documents/policy/policy110.pdf>

Policy on Faculty Annual Review: <http://oaa.osu.edu/assets/files/documents/annualreview.pdf>

Policy on Faculty Appointments:
<https://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>

Policy on Faculty Compensation:
<https://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>

Policy on Faculty Conflict of Commitment:
<https://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>

Policy on Faculty Financial Conflict of Interest:
<https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Financial-Conflict-of-Interest.pdf>

Policy on Faculty Paid External Consulting:
<https://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>

Policy on Faculty Professional Leave:
<https://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>

Policy on Faculty Recruitment and Selection:
http://oaa.osu.edu/sites/default/files/links_files/facultyrecruitment.pdf

Policy on Special Assignment:
<https://oaa.osu.edu/assets/files/documents/specialassignment.pdf>

Rules of the University Faculty: <https://trustees.osu.edu/index.php?q=university/facultyrules>

Sample Letter Requesting External Evaluation:
<https://oaa.osu.edu/assets/files/documents/Letter201.pdf>

[University Institute for Teaching and Learning: uitl.osu.edu](http://uitl.osu.edu)