DEPARTMENT OF MATHEMATICS PATTERN OF ADMINISTRATION

May 26, 2015

The mission of the Mathematics Department is to produce research in mathematics at the level of the best universities worldwide, to provide a comprehensive and challenging program for undergraduate majors and graduate students planning careers in mathematics or related fields, and to offer high quality mathematics courses to serve the rest of the university community.

THE FACULTY

For the purposes of this Pattern of Administration, a member of the *Math tenure-track faculty* is a faculty member whose Tenure Initiating Unit (TIU) is the Mathematics Department: any person with a tenured or tenure-track appointment at The Ohio State University, holding an academic rank of Assistant Professor, Associate Professor, or Professor, and having at least a one-half time appointment in the Department of Mathematics.

The *extended Math tenure-track faculty* refers to the Math tenure-track faculty together with faculty members who are tenure-track faculty members at The Ohio State University and have a non-zero joint appointment in Math.

Members of the extended Math tenure-track faculty whose TIU is not in the Mathematics Department may participate and vote on all governance matters with few exceptions specified below:

- (a) Members of the extended Math tenure-track faculty whose TIU is not in the Mathematics Department cannot participate at any stage in a faculty promotion or promotion and tenure review process.
- (b) Members of the extended Math tenure-track faculty whose TIU is not in the Mathematics Department can serve as voting members in any departmental committees with the exception of the Advisory Committee, the Salary Committee and promotion and tenure committees (CENT, PROCOMP).

In the context of promotion and tenure, the Deliberating Body (DB) are those tenured faculty who hold at least 50% appointments in the Department of Mathematics at a rank equal to or higher than that proposed for the person being considered, and whose TIU is Mathematics, excluding the Department Chair, the dean, assistant and associate deans of the college, the Provost, and the President.

1. THE CHAIR

There will be a Chair of the Department who, under the rules of the university faculty of The Ohio State University, as set forth in Rule 3335-3-35, is the administrative head of the Department.

- A. The Chair, after consultation with the Advisory Committee, may recommend to the Dean of the College of Arts and Sciences that certain members of the Math tenure-track faculty be designated vice chairs of the Department or directors of certain programs within the Department. The Chair may delegate to a vice chair such administrative responsibilities as the Chair deems appropriate. (Descriptions of the current vice chair responsibilities are given below.)
- B. The Chair will call a meeting of the extended tenure-track faculty in the Math Department in each of the autumn and spring semesters. Additional meetings may be called by the Chair or will be convened by the Chair on the request of at least ten_(10) members of the extended tenure-track faculty. Members of the extended Math tenure-track faculty will participate in these meetings and vote on any issues that are brought to the faculty at such a meeting.
 - C. The Chair will arrange to maintain minutes of all faculty meetings.
 - D. The Chair will consult with the extended Math tenure-track faculty on all important policy matters. Consultation will often take place in the Advisory Committee as a body representing the faculty, but either the Chair, a majority of the Advisory Committee, or a request by ten (10) members of the extended Math tenure-track faculty may cause an issue to be put to a vote of the extended Math tenure-track faculty. If an issue is put directly to the faculty, it will be decided by a majority of those who cast ballots on the issue. The vote will be conducted by the Election Committee. Whenever the Chair finds it necessary to act contrary to the advice of the Advisory Committee or the faculty, the Chair will present a statement of reasons for the departure. Where possible, this statement of reasons will be provided before the departure occurs.

2. SELECTION OF THE CHAIR

Although the Dean appoints the Chair, it is important that the extended Math tenure-track faculty have a standing procedure for identifying potential Chairs and for gauging the support of the Department for a particular candidate. The Chair search process should include: a gathering and review of information about the current state of the Department; discussions about the direction in which the Department should proceed; and the formulation of written statements by candidates for the Chair position of their plans for the future of the Department. The goal of the Chair search process is to provide clear advice to the Dean about the Department's view of the best candidate to be the next Chair.

During the autumn semester of the fourth year of each Chair's term, the Advisory Committee will advise the Dean on the formation of an ad hoc Chair Search Committee, following

governance documents of the College of Arts and Sciences. The members of this Committee are to be drawn from the tenure-track faculty, not excluding members currently serving on the Advisory Committee, and from the staff, and will consist of 6 members. The Advisory Committee should consult with the extended Math tenure-track faculty about the membership of the Chair Search Committee; such consultation may be performed through a simple request by the Chair of the Advisory Committee to the extended Math tenure-track faculty for nominations.

A Chair of the Chair Search Committee is appointed according to procedures in governance documents of the College of Arts and Sciences. The primary responsibility of the Chair of this Chair Search Committee is to communicate the operation of the Committee to the extended Math tenure-track faculty and staff. The Committee will devise its own procedure and timetable for conducting the Chair search, in accordance to College governance documents. However, it is expected that the following elements will be part of the procedure when the current Chair is not under consideration for reappointment:

- 1. Solicitation of written nominations for candidates.
- 2. Interviews between members of the Search Committee and the wider Faculty with the goal of ascertaining which issues the Department believes should be addressed during the next Chair's term.
- 3. After deliberation, the construction of a short list of possible Chair candidates. These individuals should then be contacted by the Search Committee to determine whether they are willing to be considered as a candidate for the next term as Chair.
- 4. Relaying the information obtained via Item 2 (above) to the candidates, with a request for written responses to the issues raised. The candidates should also be asked to communicate their plans for the Department's future to the faculty and staff. A written document outlining these plans is one possibility; an oral presentation in a meeting, open to all members of the Department, is another.
- 5. The tenure-track faculty will be polled on the candidates via a preference ballot, as designed by the Search Committee. The numerical results will be communicated to the tenure-track faculty. These results, along with any commentary the Search Committee deems desirable, will be communicated to the Dean.
- 6. The staff will also be consulted in a manner designed by the Search Committee. These results, along with any commentary by the Search Committee, will also be communicated to the Dean.

If, following, governance documents of the College of Arts and Sciences, the current Chair is willing to serve another term as Chair, and is also under consideration for reappointment by the Divisional Dean of NMS, then a Chair Search Committee will still be formed as described above, the Chair Search Committee will consult the department faculty and staff so that at least items 5 and 6 above are followed. The Chair Search Committee will issue a recommendation on reappointment to the Divisional Dean of NMS which will be shared with the extended Math tenure-track faculty and departmental staff.

The Pattern of Administration (POA) will be reviewed upon the accession of each new Chair and within one year of taking office. The POA must be approved by the College of Arts and Sciences and the Office of Academic Affairs before it becomes operational.

3. VICE CHAIRS

The Department will have three or four vice chairs who are members of the Math tenure-track faculty with responsibilities as indicated below.

A. Administrative vice chair

The administrative vice chair (avc) is responsible for budgetary and personnel matters and will help coordinate the activities of CENT (Committee for the Evaluation of Non-Tenured Faculty), PROCOMP (Promotion Committee to Professorship) and the various IIEC committees: CENT-IIEC, PROCOMP-IIEC, VAP-IIEC (IIEC=Instructional Improvement and Evaluation Committee). The avc is responsible for the hiring, evaluation, and oversight of the Departmental staff, and the appointment, in consultation with the staff, of a Staff Ombudsperson to deal with staff grievances. The avc serves as Departmental liaison with the fiscal and human resources officers of the College of Arts and Sciences. The avc also serves as liaison with the deans of the regional campuses on matters of salary and promotion of regional faculty.

B. Vice chair for undergraduate instruction or Director for Undergraduate Instruction.

The vice chair for undergraduate instruction (vci) is responsible for all lower division and outreach courses. Specifically, the vci is responsible for the supervision, coordination, oversight of all Math Department courses numbered 1151 or below. The vci also serves as ombudsperson for these courses. The vci is the Department's liaison with the MSLC (Mathematics and Statistics Learning Center).

These general duties listed above may also be assigned to a staff member (whose title would then be Director of Undergraduate Instruction, still referred to by the abbreviation vci in this document). Such a staff member would then be supervised by the vcu (C below)

C. Vice chair for undergraduate studies

The vice chair for undergraduate studies (vcu) is responsible for all upper division undergraduate courses and the mathematics major. Specifically, the vcu is responsible for the supervision, coordination, and oversight of all Math Department undergraduate courses numbered 1152 or above. The vcu also serves as ombudsperson for these courses. The vcu coordinates liaison with other colleges and departments concerning instructional issues, and oversees the summer freshman orientation activities. The vcu makes undergraduate teaching assignments of faculty, and is a member of the Undergraduate Committee.

D. Vice chair for graduate studies

The vice chair for graduate studies (vcg) is responsible for all graduate studies issues and is a member of the Graduate Studies Committee. The vcg oversees and coordinates the activities of graduate recruitment and advising. The vcg serves as Departmental contact with the Graduate School and the College on graduate matters, including university fellowships and awards. The vcg is responsible for graduate teaching assignments and oversight of the summer headstart program.

4. ORGANIZATION OF DEPARTMENTAL SERVICES AND STAFF

This is given in the SSO (Services and Staff Organization) document (see appendix).

5. DEPARTMENTAL COMMITTEES

The Department will have an Executive Committee, a Staff Executive Committee, an Advisory Committee, a Committee for the Evaluation of Non-Tenured Faculty (CENT), a Promotions Committee to Professorship (PROCOMP), Faculty Mentoring committees, an Undergraduate Committee, a Graduate Studies Committee, an Election Committee, three Instructional Improvement and Evaluation Committees, an Honors Committee, a Colloquium Committee, a Library Committee, a Salary Committee, an MRI Board, and such other ancillary and ad hoc committees as the Chair deems necessary. All committees are advisory to the Chair of the Department. Except as indicated below, all committee members and committee chairs will be appointed by the Chair from members of the Department no later than the summer term, for one year terms commencing Autumn Semester. The Chair may make ex-officio appointments, including Departmental staff, as needed. The Chair is an ex-officio non-voting member of all departmental committees.

Members of the extended Math tenure-track faculty will not be appointed by the Chair to more than two of the following seven main committees:

Advisory Committee, CENT, PROCOMP, Salary Committee, Undergraduate Committee, Graduate Studies Committee, MRI Board.

A. The Executive Committee

The Executive Committee consists of the Department Chair, the Administrative Vice Chair, and the Vice Chair for Undergraduate Instruction or the Director of Undergraduate Instruction, the Vice Chair for Undergraduate Studies, the Vice Chair for Graduate Studies, and two members of the extended Math tenure-track faculty appointed by the Chair for one semester each. The Chair of the Advisory Committee is an ex-officio nonvoting member. It meets as needed and is chaired by the Vice Chair for administration. The role of the committee is to advise the Chair on operational issues. It also makes recommendations to the Chair and Vice Chair for Administration regarding the salaries of departmental staff. Important issues dealt with by the

Executive Committee will also be brought either to the Advisory Committee or to a faculty (or staff) meeting for consideration.

B. The Staff Executive Committee (SEC)

The purpose of the SEC is to have a direct line of communication about major operational departmental issues between the staff and the Chair, bringing important operational issues to the attention of the Chair and the department at large.

The composition of the SEC will be as follows: three staff members will be elected and one will be appointed by the Chair for one year. To ensure continuity, each year one staff member will be elected for a two year term; one will be elected for a one year term with a third elected member expected to continue from the previous year.

C. The Advisory Committee (AC)

The Advisory Committee consists of twelve (12) Math tenure-track faculty members. Each Spring Semester four (4) members will be elected to two (2) year terms, two (2) members will be elected to one (1) year terms and two (2) members will be appointed by the Chair for one (1) year. New members begin their term in the Autumn Semester. In the event that an elected member of the AC cannot finish serving their term, the Advisory Committee will oversee the appointment of a suitable replacement. The Chair of the Department will be an ex-officio, nonvoting member and may appoint additional ex-officio, nonvoting members to the committee. The Advisory Committee will elect its own Chair. Meetings of the Advisory Committee and their agendas will be announced to the extended Math tenure-track faculty in advance. Meetings will be open to all members of the extended Math tenure-track faculty, except in special cases involving personnel matters. Staff members may be invited to meetings, when appropriate. Minutes of all meetings will be made available to the tenure-track faculty. All members of the extended Math tenure-track faculty vote to elect members of the AC.

The following are duties of the AC:

- 1. It advises the Chair of the Department on matters of long range planning and any other matters that members of the Department bring before it. The AC, in consultation with the Department, will produce (or update) a long term Strategic Plan during the Spring Semester. This includes a hiring plan for the recruitment of faculty to be updated annually and used during the hiring season.
- 2. The AC will oversee the formation of Recruitment Committees (including a diversity advocate committee member) which should be in place for the faculty hiring season, consisting of a number of members commensurate with recruitment responsibilities for that year. In exceptional circumstances candidates for a tenured or tenure-track faculty position may also be brought directly to the AC for consideration. Any member of the faculty can bring a qualified candidate who is a member of an underrepresented minority in Mathematics (including women) for consideration by the AC. If appropriate, the Chair of the AC will first request one of the recruitment committees to consider (or reconsider) the candidate for one of

the approved positions and to provide a recommendation to the AC on that candidate. The AC will take into account this recommendation and make a determination on whether the candidate has the appropriate qualifications for a tenured or tenure-track position in the Mathematics Department. Assuming that the AC has determined that a proposed candidate has the appropriate qualifications, such a candidate will be considered by the AC for one of the approved tenure or tenure-track faculty positions along with other proposed candidates. If, on the other hand, one of the approved positions is not appropriate, and the AC determines that the candidate has the qualifications for a tenured or tenure-track position, and that the candidate would fit, in terms of his or her research interests, in the department, then the candidate will be considered for an appropriate faculty position, aiming to use funds which may be reserved by the College of Arts and Sciences for the special opportunities in hiring members of underrepresented minorities. An invitation for an official recruitment visit will only be made with the agreement of the Divisional Dean of NMS and the Executive Dean of the College of Arts and Sciences.

- 3. The duties of the Recruitment Committee and the scope of its search will be specified by the AC, in consultation with the Chair. Duties of this committee will include coordinating Departmental efforts to examine applicant files and making a short list of qualified candidates that will be presented for consideration by the AC.
- 4. The AC is required to review the credentials of any candidate for a new appointment at the rank of assistant professor, associate professor, professor, courtesy appointments, or Visiting Assistant Professors before the candidate is recommended for appointment to such a position. This includes the faculty portion of candidates for non-tenure track "hybrid" appointments (e.g. 40% Assistant Professor and 60% staff) (see Section IV of the APT document). Such a review will normally be done by a Vice Chair and not by the AC in the case of lecturers.
- 5. The AC will ensure that the Math tenure-track faculty is involved in the process of hiring tenure-track faculty. In particular, after the campus visit of a candidate for a tenure-track position, the AC will discuss the candidate at a meeting of the AC, open to the extended Math tenure-track faculty which every member of the Columbus Math tenure-track faculty is expected to attend, and will consult those in attendance to gauge faculty support, before proceeding to vote on the candidate. The AC will vote on promotions of the faculty portion of a position of members of the Math department having non tenure-track "hybrid" appointments (e.g. 40% Assistant Professor and 60% staff).
- 6. The AC is a committee on committees. Upon request, it advises the Chair on appointments to other standing committees. It may appoint ad hoc committees, including committees to consider grievances.
- 7. Upon request the Advisory Committee advises the Chair on the approval of FPLs (Faculty Professional Leaves), SAs (Special Assignments), and unpaid leaves.
- 8. The AC, in agreement with the Chair, may amend the POA or APT documents with a vote of the Advisory Committee. Any such agenda item must be announced to the faculty at least three (3) working days in advance. Nine (9) votes in favor of a proposed amendment are

required. The amendment will be adopted five (5) working days after being announced to the Department unless, during those five working days, ten (10) tenure-track faculty members request that the issue be put to a vote of the tenure-track faculty. In that case a simple majority of the votes cast will be necessary for the amendment to be recommended to the Chair. Any substantive change to the POA or APT documents must be made in consultation with the faculty. The Chair will promptly inform the College of the amendment made and the amendment will be provisionally in effect while it awaits approval from the college and OAA. Faculty promotion and tenure cases will adhere to the OAA approved documents, especially the APT document

D. Committee for the Evaluation of Non-Tenured Faculty (CENT)

- 1. The committee consists of eight (8) members of the DB (eligible faculty), of whom three are elected each year by the CENT DB for two year terms with the remaining two (2) appointed by the Chair of the Department for one year terms. Terms begin in Spring Semester.
- 2. The Election Committee arranges for the nomination and election of CENT.
- 3. In making appointments to CENT the Chair will try to balance the committee in terms of the mathematical specialties represented. After consulting with the Advisory Committee and other members of the DB and considering the results of the election process, the Chair will appoint two (2) faculty to CENT.
- 4 Members of CENT elect their own Chair

E. Promotion Committee to Professorship (PROCOMP)

- 1. PROCOMP will consist of five members of the DB (eligible faculty). Members of PROCOMP normally serve for a period of one year beginning in the Spring Semester. In the Spring Semester of each year, the PROCOMP DB elects four (4) members and the Chair of the Department will appoint one (1).
- 2. The Election Committee arranges for the nomination and election of PROCOMP.
- 3. In making appointments to PROCOMP the Chair will try to balance the committee in terms of the mathematical specialties represented. After consulting with the Advisory Committee and other members of the DB and considering the results of the election process the Chair will appoint one (1) faculty member to PROCOMP.
- 4. Members of PROCOMP elect their own Chair.

F. The Undergraduate Committee (UGC)

The Undergraduate Committee consists of two committees: UGC-Departmental Majors, concerned with departmental majors; and UGC-Service Courses, concerned with service courses. The two committees can in some cases have a joint meeting.

The UGC will have a Chair who, in special circumstances, may convene joint meetings and who will be a member of the two committees. The Chair of the UGC will also be the Chair of the UGC-Service Courses and be a member of the UGC-Departmental Majors. The Director of the Math Major Program is a member of the extended Math tenure-track faculty, who oversees the Math major program and supervises the Math major and minor track coordinators. The Director of the Math Major Program is appointed by the Chair of the Math Department in consultation with the Executive Committee. The UGC-Departmental Majors will be chaired by the Director of the Math Major program.

The UGC includes several members with special roles:

- 1. representative of the Mathematics Honors Program to the UGC,
- 2. Director of the Math Major Program
- 3. representative of Math Teacher Education to the UGC,
- 4. representative of the Actuarial Program to the UGC,
- 5. a member of the Department at a regional campus,
- 6. a staff member representing of the Counseling Office (who shall have voting privileges.)
- 7. the Calculus Academic Coordinator
- 8. Coordinators of the Math major tracks and the Math minor tracks.

Undergraduate Committee- Departmental Majors:

This committee will include representatives 1) 2), 4) and 8).

Undergraduate Committee-Service Courses:

This committee will include representatives 3), 5) 6), 7).

The vice chairs and the Director for Undergraduate Instruction serve as ex-officio, nonvoting members of this committee. The Math Advisors will serve as ex-officio members, with one having voting privileges in the UG Committee-Service Courses and in the entire UG committee when it convenes jointly. Prior to each meeting, the committee chairs will announce the meeting's agenda to the faculty, and will post minutes in a timely fashion. Meetings will be open except when personal matters concerning students are discussed.

Coordinators for each of the active Math Major Tracks will be assigned by the Chair of the department in consultation with the Executive Committee, and will be tenure-track faculty members. A coordinator for all the Math Minors will be assigned and will also be a tenure-track faculty member. These coordinators will have ex-officio status in the Undergraduate Committee.

The Undergraduate Committee advises the vci and vcu on issues involving the Department's undergraduate program. The UGC-Departmental Majors generally handles issues that concern departmental majors and the UGC-Service Courses handles issues that concern service courses. However in some cases the Chair of the UGC, in consultation with vci and vcu, may choose to bring an issue to a joint meeting of the two committees, especially in the case of an overlap in which the two committees have a good reason to be involved. The Committee's responsibilities include recommendations for revision of courses and of major programs; coordination of courses; screening and overseeing undergraduate instructional experiments; and overseeing the advising of undergraduate students.

This committee and the Graduate Studies Committee will work together on matters pertaining to courses open to graduate and undergraduate students. The representative of a program to the UGC (1, 2, 3 above) will usually be the coordinators of this program; however he or she may also be another faculty member who is designated to work closely with the coordinator of that program.

The Mathematics Honors coordinator oversees the Department's honors undergraduate program, supervises honors advising in consultation with the Math Counseling Office, acts as a liaison with the University Honors and Scholars Program, and advises the Chair on deserving recipients of Departmental scholarships.

The Math Teacher Education coordinator oversees the undergraduate curriculum for the preparation of P-12 teachers.

The Actuarial Program coordinator oversees the Department's Actuarial Program, and supervises the advising of undergraduate actuarial science majors.

G. The Undergraduate Advising Committee

The members of this committee advise Math Majors who are not taking the standard Math Honors sequence and are not Actuarial Majors.

This committee is appointed by the Chair in consultation with the Executive Committee and consists of a group of faculty members selected from the extended Math tenure-track faculty. Each member of this committee will be assigned a number of Math Majors as advisees in the Fall

Members of this committee may be asked to be present at the following events:

- i) Training session for advisors (about one hour)
- ii) An event in the Fall welcoming Math undergraduates

Activities may be organized that will bring together Math undergraduates and tenure track faculty, in particular the members of the Advising Committee.

H. The Actuarial Advising Committee

This committee is appointed by the Chair in consultation with the Executive Committee and consists of a group of faculty members selected from the extended Math tenure-track faculty. Members of this committee advise Actuarial Science Majors.

Members of this committee are expected to have a training session led by the Director of the Actuarial Program and are not necessarily expected to teach actuarial science courses.

I. The Undergraduate Recruitment Committee (URC)

Members of this committee may be required to attend a training session led by one of the Vice Chairs and the Counselors. They will be required to attend a handful of recruitment events during the academic year.

J. The Graduate Studies Committee (GSC)

The Graduate Studies Committee consists of at least ten (10) members. At least seven (7) are members of the extended Math tenure-track faculty with Category P status; two (2) members are graduate students in the Department, who are appointed each year by the vice chair for graduate studies and one (1) member with voting privileges will come from the staff. Other members may be appointed ex-officio as nonvoting members. Prior to each meeting, the chair of GSC will make the meeting's agenda available to members of the graduate faculty and to graduate students in the Department. Meetings will be open except when personal matters concerning students are discussed.

The GSC oversees and regularly reviews the graduate program in order to guarantee its effectiveness and vitality. The committee's responsibilities include all responsibilities outlined in Section 2-4 of the Graduate School Handbook. The committee oversees the maintenance of the catalogue and graduate student records, oversees the counseling of graduate students, and provides recommendations for assistantships and fellowships, as these pertain to the graduate courses and programs of the Department. The committee may appoint ad hoc subcommittees to prepare and grade the Algebra and Analysis Qualifying Examinations. The GSC and the Undergraduate Committee will work together on matters pertaining to courses open to both undergraduate and graduate students.

K. The Election Committee

The Election Committee has two (2) members and an alternate. The duties of the Election Committee are to solicit nominations to elected committees, determine the willingness of each nominee to serve, conduct secret ballot elections for vacancies on elected committees, and announce the results of each election to the Department. The committee supervises balloting on other issues as requested by the Chair. This committee establishes a schedule for the timely election of the members of elected committees (AC, CENT, PROCOMP), and conducts these elections annually according to schedule, without prompting from the Chair or vice chairs. Among the members of the Elections Committee and the alternate, there should be at least two

members of the PROCOMP DB available to handle votes of the appropriate Deliberating Body. A third member/alternate may be a member of the extended Math tenure-track faculty.

Voting:

For any vote of the tenure-track faculty to elect members of major committees (Advisory Committee, CENT, PROCOMP, etc.), or any votes of CENTDB or PROCOMPDB in Promotion and Tenure cases, with the exclusion of recruitment cases, (or any vote where the chair deems that sufficient reasons exist for modifications):

- 1. The Election Committee organizes Departmental voting.
- 2. Three (3) working days should be allowed for the casting of ballots.
- 3. Voting can be done online and information relevant to the vote will then be posted in a secure password-protected website.
- 4. When faculty members are nominated to a major committee the number of candidates N should be at least double the number of positions K to be filled i.e. N≥2K (help from the chair may be solicited if not enough colleagues are nominated and agree to stand for election.) The Elections Committee may decide which nominees appear on the ballot based on the number of nominations received with the condition that N ≥ 2K. However the Elections Committee will usually aim to include all nominated faculty members in the ballot when it is practical to do so. After the votes are counted, the candidates will be rank-ordered according to the number of votes received. In case of a tie, the Elections Committee will choose a randomized process such as a coin toss to choose the winner. In an exceptional situation in which there is a disagreement in the Elections Committee about the outcome of such a randomized process to break a tie between several candidates, then the Chair will make a final decision and break the tie.
- 5. In order to give departmental members a picture of how committee membership is evolving, the current membership history of a candidate for election to a committee will appear along with the candidate's name on the ballot.

For other votes of the tenure-track faculty or staff (outside of recruitment cases):

- 6. Any standing committee or ad-hoc committee may organize online voting, with cooperation from a member of the Computer Support staff.
- 7. If the vote is not carried out online, then the Elections Committee is in charge of the voting process.
- 8. Three (3) working days will be allowed for the casting of ballots.

For any vote of the CENTDB or PROCOMPDB on the qualifications of a candidate in a recruitment case:

- 9. Online voting may be organized by the AC with cooperation from a member of the Computer Support Staff.
- 10. Between one and three working days will be allowed for the casting of ballots.
- 11. Voting procedures (what constitutes a quorum etc.) are detailed in the Appointments, Promotion, and Tenure document in accordance with OAA mandates.

L. Instructional Improvement and Evaluation Committees (IIEC)

IIEC consists of three committees (IIEC-CENT, IIEC-PROCOMP, and IIEC-VAP) with membership commensurate to the task (evaluating the teaching of, respectively, Assistant Professors, Associate professors or Visiting assistant Professors). IIEC-CENT consists of tenured Math tenure-track faculty and is coordinated by the Chair of CENT, but will have a Chair who is responsible for its day-to-day operations. IIEC-PROCOMP consists of full professors who are Math tenure-track faculty and is coordinated by the Chair of PROCOMP, but has a Chair responsible for its day-to-day operations. IIEC-VAP is chaired by the Vice Chair for Undergraduate Studies.

The IIEC committees are responsible for evaluating the classroom performance of faculty. Each committee member who evaluates a colleague will give a copy of the written IIEC report and discuss with that colleague his or her perception of the strengths and weaknesses of the performance and will make suggestions for improving teaching performance when possible. Regularly scheduled peer teaching evaluations are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. The aim is to have at least one visit per semester by a member of an IIEC committee to a class taught by any member of the extended Math tenure-track faculty with the rank of Assistant or Associate Professor. Written reports of classroom visits of IIEC-CENT, IIEC-PROCOMP should be given to the Department Chair. Written reports of classroom visits of IIEC-VAP should be given to the Vice Chair for Undergraduate Studies. All written reports should be shared with the persons who are evaluated by an IIEC committee.

M. Colloquium Committee

The Colloquium Committee has three (3) members who are members of the extended Math tenure-track faculty. It is responsible for selecting, in consultation with the faculty, speakers for the Mathematics Department Colloquium, for inviting these speakers, and for scheduling the colloquium lectures.

N. Library Committee

The Library Committee has at least two (2) members of the extended Math tenure-track faculty. It advises the Chair on all matters pertaining to the improvement of the mathematics holdings in the University Libraries and serves as liaison between the Department and the University Libraries.

O. Salary Committee

The Committee is formed each year in Spring Semester. It consists of eight (8) tenured Math tenure-track faculty members of whom three (3) are selected by the Advisory Committee from the Columbus Math tenure-track faculty or from its membership, three (3) are elected by the Math tenure-track faculty of the Columbus Campus, and two appointed by the Chair from the Math tenure-track faculty of the Columbus campus. The Salary Committee elects its own chair.

The Salary Committee advises the Chair on salary adjustments as specified in part V of the APT document. In making the appointments to the Salary Committee, the Chair will try to ensure balance in the committee regarding the various tasks of the Department: teaching, research, and service.

A description of the compensation philosophy, criteria, and salary committee procedures is given in part V of the APT document.

P. The Mathematical Research Institute Board (MRI)

The Mathematics Research Institute (MRI) was established within the Mathematics Department at The Ohio State University in 1990 in response to the increasing importance of collaborative work in mathematical research worldwide. The original funding of the MRI was provided by a continuing grant from the Academic Challenge Program supplied by the Ohio Board of Regents.

The goal of the MRI is to enhance research, scholarship and education programs of the Mathematics Department. Examples of programs that the MRI may support to accomplish this goal are the following, which are in effect during 2010-11 and 2011-12:

MRI programs

- 1. Distinguished Visitors Program. The MRI Board will select each year a group of distinguished visitors to be invited to the department for periods ranging from two weeks to one semester. The activities of these visitors will be arranged to include graduate student component such as a mini-course, workshop, or a talk.
- 2. Departmental Seminars Program. This consists of support for departmental seminars with funds to bring off-campus speakers to the department.
- 3. Emphasis years. These are usually supported in part with external grants and include workshops in which faculty and graduate students from different institutions participate. New interdisciplinary programs are encouraged in addition to programs in core mathematics.
- 4. Rado and Zassenhaus lectures in which distinguished mathematicians are invited to give several lectures.
- 5. Support for departmental working groups promoting undergraduate research with participation of graduate students and several faculty members.
- 6. The MRI serves as a vehicle for disseminating faculty research projects through the MRI Preprint Series and the publication agreement with de Gruyter Publishers for books in the OSU MRI series.

MRI Management

The MRI Board consists of six members of the extended Math tenure-track faculty appointed by the Chair. The Chair will designate a seventh member of the extended Math tenure-track faculty as the Director of the MRI. The Director of the MRI is appointed for a three (3) year term and the other members of the Board are appointed by the Chair for a two-year term.

The Director of the MRI is responsible for informing the faculty of the opportunities available by the MRI and the decisions made by the Board in a timely fashion, possibly including distribution of the minutes of the Board meetings. The MRI Director will submit an annual report to the faculty.

Duties of the MRI Board and the Director of the MRI

- 1. The MRI Board decides on allocation of funds.
- 2. The MRI Board makes major decisions involving its scientific programs, e.g. which specific research areas will be supported in a certain emphasis year or which distinguished visitors will be invited.
- 3. The MRI Board provides help and advice to faculty members in making proposals for external funding (e.g. NSF funding).
- 4. The Director of the MRI is responsible for day-to-day management of MRI activities and makes operational decisions consistent with the goals set by the MRI Board.
- 5. The Director of the MRI reports on MRI activities to the MRI Board and to the Faculty.

Q. Faculty Mentoring Committees:

The department will be active in ensuring that members of the extended Math tenure-track faculty in different stages of their career receive adequate mentoring and advice from their peers and the Chair, to help them navigate the promotion and tenure process. The department will develop a mentoring program: Assistant Professors may be assigned a tenured faculty member as mentor to help guide them in the promotion and tenure process. Recently promoted Associate Professors may be assigned a senior faculty member at the rank of Professor as mentor to discuss departmental expectations for promotion and a possible timeline for promotion to the rank of Professor. Participation of assistant and associate professors in this program is voluntary.

6. FACULTY MEETINGS

In consultation with the course scheduling staff, one hour of the week will be designated for Faculty and Staff Meetings. An attempt will be made to avoid scheduling tenure-track faculty teaching assignments at this hour. Faculty meetings to discuss issues of importance to the Department may be called on the initiative of the Chair, of the Advisory Committee, or upon a petition by ten (10) or more members of the tenure-track faculty. An agenda will be delivered to

the tenure-track faculty and staff before each scheduled meeting. Reasonable efforts will be made to distribute the agenda at least three working days before the meeting.

Any departmental issue brought up by a member of the extended Math tenure-track faculty to the Chair will be given, upon request, some time (5-10 minutes) in the agenda of a faculty meeting aiming for a clear, concise, and systematic presentation emphasizing implementable solutions. Assuming that there is a quorum, the faculty members present at the meeting should vote on whether the issue should be pursued further. Video-conferencing should be used to encourage the participation of regional campus faculty in faculty meetings.

Members of the extended Math Tenure-track faculty have an obligation to attend faculty meetings. The number of tenure-track faculty required to make up a quorum at a faculty meeting is at least one third of the number of members of the extended Math tenure-track faculty.

7. DISTRIBUTION OF FACULTY DUTIES AND RESPONSIBILITIES

In general, faculty duties and responsibilities should be discharged in accord with the American Association of University Professors' Statement on Professional Ethics. This statement may be found at

http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionale
thics.htm

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 Faculty Conflict of Commitment policy (http://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf).

A. Instructional Activity

In the Department of Mathematics the baseline teaching load for tenure-track faculty with a 100% appointment in Math during the academic year is 9 contact hours (e.g. 3 3-credit hour courses) under the semester system. Among the factors that the Chair may use in considering eligibility for a lower teaching load are grants, graduate students, significant undergraduate activities, publications, and ongoing research projects. A higher load may be appropriate when research or service activity or involvement with the graduate program do not meet departmental expectations.

Tenure-track faculty members are expected to advise undergraduate and graduate students. Curriculum development, writing of textbooks and teaching materials and other pedagogical

works are part of instructional activities. In some instances these activities belong to the category of scholarly activity as well.

B. Research and Scholarly Activity

Each member of the extended Math tenure-track faculty is expected to maintain an active program of research and scholarly activities and to make significant contributions in these areas. Research is the creation of new knowledge; research and teaching are interrelated. Scholarly activity includes publishing research in refereed journals and in conference proceedings, giving seminars, lectures, and workshops; interdisciplinary activity between different areas of mathematics or between mathematics and other fields such as the arts, sciences, and professions; participation in conferences and consultation with colleagues at other universities, institutes, and national research laboratories; and collaborative research with students, postdoctoral fellows, visitors, and other researchers. It also includes such activities as writing research monographs, expository articles and popular articles on mathematics, and scholarly contributions to curriculum development.

C. Service Activity

The Mathematics Department depends on its faculty for administration of its various activities. It is expected that each member of the Department will conscientiously perform their share of the administrative responsibilities. All members of the extended Math tenure-track faculty will serve on departmental committees as needed and as appropriate to their appointment and rank. Advising of students is an important service as well as an instructional activity. Faculty, particularly senior faculty, are expected to serve on College or University committees as needed. Faculty members also perform professional service for the community of mathematicians by serving on committees of professional societies, presenting invited talks, organizing conferences, refereeing articles, editing journals, etc. Faculty members serve the university scientific community and the local community by consulting on mathematical problems of interest.

D. Departures from Average

It is to the benefit of both the Department and the individual faculty member that the diversity of interests and talents among faculty members be recognized and accommodated. Therefore, the Chair, in consultation with the faculty member, may approve departures from the average. A faculty member who makes extraordinary contributions in one or more areas may be permitted to have compensatory below average activity in other areas. It is the Chair's responsibility to assure that duties and responsibilities are equitably distributed among the faculty.

The teaching load of faculty with paid release time or with exceptional service responsibilities will be adjusted commensurate with the amount of release time or the time commitment for the exceptional service.

E. Disclaimer

The above guidelines do not constitute a contractual obligation. This document describes only

expected average levels of activity in the various areas. In particular, the awarding of promotion or tenure is only for exceptional performance, as determined by a peer review process described in the Appointments, Promotion, and Tenure document. Fluctuations in demand, resources in the Department, and the individual circumstances of faculty members may warrant temporary deviations from the policy. The guidelines in section 7 do not apply to faculty members at the regional campuses whose duties are governed by the Patterns of Administration of their own campuses.

F. Special Assignments (SAs)

SAs are up to one semester in length and are designed to provide a faculty member time away from the Department in order to concentrate effort on research, service, or teaching endeavor or a professional development opportunity. See

http://oaa.osu.edu/assets/files/documents/specialassignment.pdf

Faculty members who desire an SA should discuss the matter with the vice chair for administration in the Autumn Semester of the academic year *before* the SA is expected to take place.

SAs are reviewed by the Advisory Committee. Approval at the department level takes into account the budgetary and staffing needs of the department and the appropriateness of the activity proposed for the professional development of the faculty member and the academic mission of the department.

G. 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.

The standard teaching assignment for full-time (100%) lecturers is eight courses per academic year.

H. Parental Modification of Duties

The Department of Mathematics 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 Arts and Sciences' 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 at (http://oaa.osu.edu/governance.html) 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.

8. COURSE OFFERINGS & TEACHING SCHEDULES

Each semester, the vice chair for undergraduate studies develops a schedule of course offerings and teaching schedules in consultation with the faculty, the vice chair for graduate studies, the vice chair for instruction, and the Department Chair. While every effort will be made to accommodate individual preferences of faculty members, the Department's first obligation is to offer courses needed by students at times most likely to meet student needs. A scheduled course that does not attract the minimum number of students required by Faculty Rule 3335-8-17 will normally be canceled unless it is an essential component of the undergraduate or graduate program as determined by the Chair and vice chairs.

9. ALLOCATION OF DEPARTMENT RESOURCES

The Chair will discuss the Department budget at least annually with the faculty either in the AC, via email or in a Departmental meeting.

10. LEAVES & ABSENCES

The University's policies on leaves and absences appear in the Office of Academic Affairs Policies and Procedures Handbook and Office of Human Resources Policies and Procedures website. The information provided below supplements these policies.

Discretionary Absence

Faculty Rules require that any discretionary absence of more than ten consecutive business days be approved by the Office of Academic Affairs.

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). See OHR Policy 6.27 for details.

http://hr.osu.edu/policy/policy627.pdf.

Unpaid Leaves of Absence

A faculty member may request an unpaid leave of absence for personal or professional reasons. Professional reasons would include an opportunity to accept a visiting appointment at another institution. A faculty member desiring an unpaid leave of absence should submit a written request for the absence as far in advance as possible of the time for which the leave is desired. Unpaid leaves of absence require the approval of the dean, Office of Academic Affairs, and Board of Trustees.

Faculty Professional Leave

A Faculty Professional Leave constitutes a more formal departure from tenure-track 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. See

http://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf

Faculty members who desire an FPL should discuss the matter with the vice chair for administration in the Fall Semester of the year *before* the FPL is to take place.

Applications for FPLs are reviewed by the Advisory Committee. Approval at the department level takes into account the budgetary and staffing needs of the department and the appropriateness of the activity proposed for the professional development of the faculty member and the academic mission of the department. FPL proposals must be approved by the Dean, the Office of Academic Affairs, and Board of Trustees before they may be implemented.

11. SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY

The University's policies with respect to supplemental compensation and external consulting are set forth in the Office of Academic Affairs Policies and Procedures Handbook.

All activities providing supplemental compensation must be approved by the Department Chair or vice chair for administration regardless of the source of compensation. External consulting must also be approved. In addition, it is University policy that faculty may not spend more than one business day per week on supplementally compensated activities and external consulting combined.

Financial Conflicts of Interest

The University's policy on financial conflicts of interest is described in the Office of Academic Affairs Policies and Procedures Handbook.

A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence on a faculty member's 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.

Grievance Procedures

Members of the Department with grievances should discuss them with the relevant vice chair or supervisor and, when appropriate, directly with the Chair. Faculty members may request that the Faculty Grievance Ombudsperson (see the paragraph on the Advisory Committee) appoint an ad hoc committee to consider a grievance. Staff members may bring grievances to the Staff Ombudsperson, who may request the appointment of an ad hoc committee to consider a grievance, if necessary.

Formal procedures for the review of specific types of complaints and grievances are described below.

Salary grievances: A faculty member who believes that his or her salary is inappropriately low should discuss the matter with the Chair. A staff member who believes that his or her salary is inappropriately low should discuss the matter with the vice chair for administration. The faculty or staff member should provide documentation to support the complaint.

Faculty members who are not satisfied with the outcome of the discussion with the Chair may file a salary appeal at the college level as described in the college Pattern of Administration.

Staff members who are not satisfied with the outcome of the discussion with the vice chair for administration and wish to pursue the matter should contact Employee and Labor Relations in the Office of Human Resources.

Faculty Misconduct: Complaints alleging faculty misconduct or incompetence should follow the procedures in Faculty Rule 3335-5-04.

Faculty Promotion and Tenure Appeals: Promotion and tenure appeal procedures are described in Faculty Rule 3335-5-05.

Sexual Harassment: The University's policy and procedures related to sexual harassment are found in the Office of Human Resources Policy 1.15. See http://hr.osu.edu/policy/policy115.pdf

Student Complaints: The vice chair for undergraduate studies handles student complaints about

undergraduate courses at the 1152 level and above. The vice chair for instruction handles complaints for all courses below 1151.

Grade grievances are handled as described in Faculty Rule 3335-8-23. Graduate student grievances are handled by the vice chair for graduate studies and may be referred to the Graduate Studies Committee for additional review.

Faculty complaints regarding students must be handled according to University rules and policies. Faculty should seek the advice and guidance of the Chair and the vice chairs when problematic situations arise. Evidence of academic misconduct must be brought to the Committee on Academic Misconduct (http://oaa.osu.edu/coam.html).

The Code of Student Conduct can be found as a link at http://studentconduct.osu.edu/page.asp?id=1.

Appendix

SERVICES AND STAFF ORGANIZATION January 20, 2015

Assistants to the Chair and Assistants to the vice chairs (chair suite).

One staff member provides administrative support to the Chair of the Department, serving as liaison between the Chair and faculty, staff, students, other University offices, and the public; assisting with faculty searches and the annual promotion and tenure process as well as the annual evaluation processes; and assisting with visa processing. This staff member schedules meetings and appointments; records minutes of faculty and Advisory Committee meetings; develops and maintains filing systems for the Chair's Office, including maintenance of faculty personnel files, annual promotion and tenure dossiers, and applicant files for faculty searches; and serves as primary contact with the Office of International Student/Scholar Services.

This same staff member also serves as initial reception point for the Chair's suite (both telephone and in person); keeps the Chair's daily calendar and schedules meetings and appointments; provides primary support for faculty recruiting activities; provides additional (as needed) processing and administrative support for the three vice chairs (undergraduate studies, instruction, and administration); and coordinates visitor room assignments and keys.

A second staff member assists the Vice Chair for Undergraduate Studies and the Director for Undergraduate Instruction. This staff member coordinates workshop arrangements; facilitates data collection and processing; maintains databases; coordinates night exams, including room

assignments; interfaces with Departmental Scheduling/Statistical Analysis Office; assists in organizing and coordinating outreach activities; oversees front desk operations; and assists with the Ross Program.

These assistants' duties and responsibilities vary with circumstances. In addition to their primary duties these staff members have secondary duties: backing up the duties of the other assistants to the Chair and vice chairs, and providing administrative support to the Chair and vice chairs as needed.

A third staff member is the Director for Undergraduate Instruction, who is responsible for all lower division and outreach courses. Specifically, this staff member is responsible for the supervision, coordination, and oversight of all Math Department courses numbered 1151 or below; serves as ombudsperson for these courses; and serves as the Department's liaison with the MSLC (Mathematics and Statistics Learning Center). This staff member also works closely with Vice Chair for Undergraduate Studies to make undergraduate teaching assignments for the faculty.

Fiscal Office

The Financial Officer manages and coordinates Departmental fiscal operations, including managing the fiscal staff and overseeing departmental personnel functions. The Financial Officer reports to the vice chair for administration. This Fiscal Office also provides the Chair and vice chairs with fiscal projections, budget plans, and reports; produces statistical analyses of Departmental spending patterns; initiates and develops administrative policies and procedures; and helps determine priorities regarding fiscal matters. Further, it advises the Chair on university HR policies and on outside granting agencies policies.

Human Resources

This associate provides human resources, fiscal, and general administrative support in the Department of Mathematics; manages human resource services and processing for all regular and non-regular appointments; serves as backup for departmental delegated buyer and backup for travel requests and reimbursements. Initiates select general ledger journal entries and reconciles select chartfield combinations; manages the P-card; and assists the Vice Chair for Administration and the Financial Officer.

Sponsored Projects Office

The Sponsored Projects Office provides administrative support to faculty requesting external funds for research; identifies potential funding opportunities; initiates and coordinates all financial documents for processing between the Department and the Office of Research Sponsored Projects to ensure compliance with the standards set forth in the award.

Printing Facility

The Printing Facility produces course related documents for the department and a small number

of other departments on campus while maintaining the security of exams and the delivery of other confidential material. It manages the centralized office supplies and paper for the department and monitors/tracks the supplies and equipment purchased by the department.

Mathematics Research Institute Office

This office provides administrative support to the Mathematics Research Institute (MRI); manages the MRI budget account and processes all financial transactions for MRI in coordination with the Fiscal Office; manages conference participant databases and arranges housing/travel for participants; prepares MRI Conference Proceedings volumes for publication.

Undergraduate Math Advising Office

This office advises students on a variety of issues, including math placement and course options, math courses/sequences for various programs, math study skills, and long-range goals. It also assists the department administration and various university offices in providing information concerning math related issues. The office develops and maintains the Math Advising Office web pages, which include updated information on courses and syllabi, honors opportunities, information about placement tests, GEC requirements, and related data. It assists faculty advisors with math majors, prepares literature for orientation of new students, writes and grades math proficiency exams, helps the Undergraduate Admissions Office with recruitment and with evaluation of transfer credit, and oversees processes needed to get University approval of curricular changes.

Course Office

The Course Office keeps course records, assists students with math-related course registration concerns, and distributes course-related materials to instructors. The Course Office acts as the Department's liaison with the Office of Disability Services.

Office of Instructional Support

This office is responsible for non-faculty staffing of mathematics courses, and the management of the non-PhD instructors, including the annual hiring and training of new instructors. This office schedules teaching assignments of non-PhD staff, provides instructional support throughout the year, provides information on TA issues to various department and university entities, helps resolve conflicts involving TAs, and serves as liaison with various university programs.

Office of Enrollment Management

This office provides information and projections on student enrollments, placements and performances in math courses for Department administration and faculty. It projects, monitors, and manages student enrollments in all mathematics classes; creates and oversees the department's Master Schedule of Classes; collects and maintains data on student placements, performances, and enrollments; provides information student enrollments and performances;

monitors and reports on math placement exam results.

The Mathematics and Statistics Learning Center (MSLC)

The mission of the MSLC is to support the student learning experience in lower division Mathematics and Statistics courses at Ohio State. Its operations are supported by an MSLC director and several staff members. MSLC provides tutoring for students, workshops and exam reviews, training for tutors, and consultation and support for instructors using new technologies in their courses.

Computer Support Office

This office oversees and manages computer needs of the department, including recommending and overseeing the purchase of equipment and software, and the active maintenance of the departmental computer environment e.g. backup of data, software upgrades, security, and virus protection.

Graduate Office

The Graduate Office supports the administration of the department's graduate program. It provides support for the Graduate Studies, Graduate Recruitment, and Graduate Advising Committees; assists the vice chair for graduate studies and the Office of Instructional Support; creates and maintains records of the department's graduate recruitment, admissions, and retention; acts as a liaison between math graduate students and various departmental and university offices; and provides support for graduate student recruitment and admission activities.