

# **PATTERN OF ADMISISTRATION**

## **COLLEGE OF SOCIAL AND BEHAVIORAL SCIENCES**

### **INTRODUCTORY STATEMENT**

The College of Behavioral and Social Sciences draws upon a nationally and internationally distinguished faculty whose research informs our understanding of how individuals and groups interact with their physical and social environments, and who communicate this knowledge through courses and research opportunities to Ohio State students. The departments, schools, and research centers in the college focus on understanding the behavior, and its consequences, of men and women and the groups and institutions they create. They draw upon the full tool kit of the modern-day social and behavioral sciences (including experimental, observational, survey, interpretive, game theoretic, and statistical methods of analysis) to study people, groups, and their institutions in the United State and other countries. Through their courses and co-curricular activities, such as major clubs and internships, SBS majors develop the analytical and communication skills and the knowledge that enable them to address important issues facing contemporary citizens and leaders and serve them well in a variety of careers, including work in both the private and public sectors, as well as further training in professional or graduate school.

### **COLLEGE MISSION**

The mission of the College of Social and Behavioral Sciences is to achieve excellence in research, teaching, and service. The college focus is on the core of the social and behavioral science enterprise, which involves theory-driven systematic empirical investigation of numerous phenomena involving the behavior of humans, both as individuals and in various kinds of collectivities.

Excellence in research can be measured by attainment of international recognition, as evidenced by comparative rankings, publications, citations, external funding, awards, and honors in both basic and applied research in the social and behavioral sciences. Excellence in teaching means providing to all students the opportunity to realize their full capabilities for learning in the social and behavioral sciences and providing to the most capable and motivated students an enhanced learning experience. Excellence in service involves making available a high level of professional expertise and experience to the public including the university, the Columbus community, the State of Ohio, and the nation, as well as to scholarly professional organizations.

### **FACULTY APPOINTMENTS AND GOVERNANCE**

The faculty are organized into Departments, Schools, and other units as defined

in section 3335-3-34 of the Rules of the University Faculty. Types of faculty appointments in the college include Regular Tenure-Track Faculty, Regular Research-Track Faculty, and Non-Tenure-Track Faculty, which can include Visiting Faculty, Lecturers, Instructors, and Auxiliary Faculty (those holding adjunct or courtesy appointments).

Regular Tenure-Track Faculty holding salaried appointments in a department or school of the college are eligible to vote in college matters.

Regular Research-Track Faculty in a department or school of the college are not eligible to vote in college matters. Regular Research-Track Faculty appointments are fixed term contract appointments that do not entail tenure. Research track faculty are researchers and shall be engaged in externally-funded research related to the mission and goals of the academic unit. Research track faculty titles parallel those of the tenure-track faculty, i.e. research assistant professor, research associate professor, and research professor.

Auxiliary faculty (e.g., those holding adjunct or courtesy appointments) in a department or school of the college are not eligible to vote in college matters. The awarding of an adjunct or courtesy appointment should be contingent upon the performance of significant ongoing non-compensated service to the department or school.

### **College Faculty Meetings**

In addition to participating through service on college committees, faculty members may take part in college business through college faculty meetings. These meetings are convened by the dean, convoked by a majority of the faculty of any academic unit of the college, requested by a petition signed by at least ten percent of the college faculty, or called by any standing committee. A quorum consists of those college faculty members attending.

### **ORGANIZATION OF COLLEGE SERVICES AND STAFF**

The staff of the college office (dean, associate and assistant deans, senior fiscal officer, and administrative staff) provides support services to the departments, schools, and centers in SBS. Information and support regarding fiscal planning and budget, personnel, human resources, promotion and tenure, research and grant activities, course enrollments, alumni relations, external communications, and development are available to unit heads and staff through the college office.

### **OVERVIEW OF COLLEGE ADMINISTRATION**

The central administration of the college consists of a dean, and associate and assistant deans appointed by the dean, as required by the needs of the college. The dean, who is appointed by the Provost, appoints the associate and assistant deans, the chairs of the departments, the directors of the schools, and the directors of college centers subject to the approval of the provost, the president, and the board of trustees.

## **Committees**

The college has six standing committees: (1) Executive; (2) Promotion and Tenure; (3) Investigation; (4) Curricular Affairs; (5) Graduate Studies; and (6) Budget and Planning. In accordance with university policies and procedures, the dean also appoints oversight committees for the research centers and interdisciplinary curricular programs that report to the college. The dean may establish other committees as may be needed, in consultation with the executive committee, or may change the membership of the existing committees, in consultation with the executive committee.

**1. Executive Committee.** The executive committee advises the dean on questions of general policy and undertakes coordination of activities across the college. The committee members include the dean, associate and assistant deans, college fiscal officer, and the head of each college academic unit that is a tenure initiating unit.

**2. Promotion and Tenure Committee.** The promotion and tenure committee advises the dean on matters of promotion and tenure of faculty. The promotion and tenure committee meets to consider candidates for the following:

**Regular Tenure-Track Faculty:** Promotion to associate professor with tenure for probationary assistant professors; tenure for probationary associate professors; promotion to professor for associate professors; and fourth-year review of probationary assistant professors. The committee will also meet to consider all first, second, third, and fifth year reviews in which the department chair or school director has recommended non-renewal of the probationary appointment.

**Regular Research-Track Faculty:** Promotion to associate professor for assistant professors and promotion to professor for associate professors.

The committee is charged with strengthening and upholding the very high academic standards of the college regarding teaching, research, and service. The committee also serves to review changes to the college Pattern of Administration that involve promotion and tenure issues. The college criteria for promotion and tenure are specified in a separate section below.

Committee members are appointed by the dean with due regard to department/school representation as well as to gender/ethnic diversity.

Normally, members are appointed for three-year terms, staggered so that about one-third of the members are new each year. The dean asks one or more committee member(s) to serve as procedural oversight designee, who bears special responsibility for monitoring the promotion and tenure process to assure that all candidates for promotion or tenure are evaluated according to the same criteria, regardless of their gender or ethnic status. In addition, the dean asks one or more committee member(s) to serve as reporter. The reporter is responsible for recording the committee's official votes, drafting committee reports to the dean, obtaining agreement with draft reports among committee members, and submitting final reports to the dean.

The dean and associate dean for personnel attend meetings at which candidates for promotion and tenure are considered, but they do not vote. To review and vote on a candidate, committee members must be higher in academic rank than the candidate, and they may not be faculty members of the candidate's tenure initiating unit. To vote on a candidate, committee members also must participate in the committee's review discussion. Following discussion of a candidate's performance, committee members vote on that candidate by secret ballot, and the reporter announces the result. As soon as possible thereafter, the reporter submits a written report of the committee's evaluation to the dean, including an appraisal of the candidate's strengths and weaknesses and the committee's vote. If additional documentation for any candidate is provided as a result of the comment process, the committee meets again to consider the additional documentation and its relevance to the committee's decision.

Procedures for fourth-year probationary reviews of regular tenure-track faculty (as well as first, second, third, and fifth year reviews in which the department chair or school director has recommended non-renewal of the probationary appointment) are similar to those outlined for promotion and tenure reviews, with the exception that the vote taken reflects whether the recommendations of the candidate's departmental promotion and tenure committee and department chair were reasonable. "Reasonable" means that, in the case of a recommendation for continuation, the evidence suggests that it is plausible that the candidate will have a tenurable record when the formal decision must be made. In the case of a recommendation of termination, "reasonable" means there is almost no chance that the candidate will have a tenurable record when the formal decision must be made. A vote that a recommendation was reasonable advises the dean to accept the recommendation. A vote that the unit's recommendation is not reasonable advises the dean to reject it.

This committee considers ways to improve the promotion and tenure process at both unit and college levels. When warranted, it reports to the dean concerning this process, outlining recommendations for improvement.

**3. Investigation Committee.** The investigation committee assays formal complaints made against regular and auxiliary faculty members, doing so in accord with university policies and procedures. It is composed of twelve tenured

faculty members of the university, eight from within the college and four from units outside the college. Normally, committee members are appointed by the dean for three-year terms, which are staggered so that about one-third of the members are new to the committee each year. The SBS members of this committee also serve as the college Salary Appeals Committee when such a committee is needed.

Complaints lodged against faculty members are examined by a subcommittee of three members from the Investigation Committee, two of whom are members of the college faculty and one of whom is from outside the college, who are chosen randomly from the full committee membership. A committee member may not serve on such a subcommittee if he or she is part of the faculty of a respondent's or a complainant's unit, or if a personal or professional relationship with the respondent or complainant makes subcommittee membership inappropriate.

The subcommittee conducts investigations according to university policies and procedures. At the conclusion of an investigation, the subcommittee reports its findings to the dean, including a recommendation concerning the merits of the complaint and, if the complaint is judged meritorious, a proposed sanction. When subcommittee members disagree on findings, recommendations, or proposed sanctions, the subcommittee report includes dissenting views.

**4. Curricular Affairs Committee.** The curriculum committee deals with instructional activities and programs. More particularly, the committee considers the adoption, alteration, or abolition of courses and curricula prior to consideration of such matters by the Colleges of the Arts and Sciences' curriculum committee and the university's Council on Academic Affairs. The committee's membership includes one faculty member from each academic unit of the college, and an *ex officio* member representing the dean's office. Committee members are selected by the college's tenure initiating units in a manner determined by them. Additional members include one graduate student and one undergraduate student from graduate programs and undergraduate majors in the college, appointed by the college office.

**5. Graduate Studies Committee.** The Graduate Studies committee advises the dean on questions related to graduate education and training. Each tenure initiating unit of the college selects one member, typically the unit's graduate director or chair of its graduate studies committee. The committee also includes an *ex officio* member representing the dean's office.

**6. Budget and Planning Committee.** The Budget and Planning Committee consists of members appointed by the dean, including at least one tenured faculty member from each tenure initiating unit and representation by graduate and undergraduate students and by staff. The committee is chaired by the dean, and the associate deans and senior fiscal officer of the college serve as *ex officio*

members. This committee meets as requested by the dean to provide advice on matters related to resource allocation and planning in the college.

**7. Center and Program Oversight Committees.** Each center and interdisciplinary curricular program that reports to the dean of the college has a faculty oversight committee. In accordance with university policies and procedures, these oversight committees are appointed by the dean for fixed terms, usually up to three years with the possibility of renewal. Committee members are drawn from the faculty of both the college and other colleges, to reflect the interdisciplinary nature of these centers and programs. The oversight committees advise the dean on the performance of the center and program, serve as an information conduit to and from the unit, and advise the unit's director on policies and procedures.

## **POLICIES GOVERNING FACULTY RESPONSIBILITIES AND TEACHING ASSIGNMENTS**

### **Academic Unit Head Duties and Responsibilities**

Subject to the approval of the provost, president, and board of trustees, the dean appoints the heads of academic units following procedures that assure consultation with unit faculty, staff, and students. The heads of the college's academic units perform administrative duties and carry responsibilities that are specified in university rules. These duties and responsibilities are carried in addition to instructional and research obligations. The formal teaching assignment of a unit head is determined by the dean in accord with the particular needs of the unit, and it is expected that unit heads will teach at least one course per year. The unit head in turn determines the teaching assignments of faculty in a unit, and may adjust a faculty member's teaching assignment based on significant service activities (e.g., Director of Graduate Studies, Director of Undergraduate Studies) or research productivity.

### **Faculty Responsibilities**

The responsibilities of faculty in the departments and schools of the college are defined in the university's Faculty Rules. Teaching assignments are determined by unit heads, as are service activities at the unit level.

### **Faculty Performance Reviews**

Regular reviews of faculty performance are conducted to assist faculty in professional growth, to establish goals for future performance, and to document

past performance for salary decisions and other rewards. Faculty holding appointments in the tenure initiating units of the college are required to submit information on an annual basis regarding performance in research, teaching, and service, as requested by the department chair or school director and described in each department's Pattern of Administration. Faculty reporting directly to the dean because they hold administrative positions in the college are required to submit the same information plus information bearing on their administrative performance. Documentation of research activities may include lists of publications, citation and journal impact data, and information about submitted and awarded research grants. Documentation of teaching must include data from Student Evaluation of Instruction (SEI) for each course taught and may also include other objective information on teaching effectiveness. Documentation of service may include a listing of journal editorships and journal reviews, university committee memberships, professional activities, community service based on professional expertise, etc. Other information may be requested by the department chair or unit director or the college. Faculty are required to provide all requested information to chairs and directors in a timely manner, as mandated by university rules. The chair or director (or designee) in each unit will provide each faculty member with a written review that assesses past performance and discusses future goals and means to attain them. Faculty members may provide written comment on their performance review if desired. Annual review letters, and any written comment provided by the faculty member, become part of the cumulative dossier of the faculty member.

## **COLLEGE CRITERIA FOR PROMOTION AND TENURE**

Regular Tenure-Track Faculty:

**Promotion to associate professor with tenure** in the College of Social and Behavioral Sciences requires excellence in both scholarship and teaching. The promise of excellence in service is desirable.

Excellence in scholarship means attainment of measurable national and international recognition based on an appropriate amount and rate of high quality published research or other relevant creative endeavors. A successful candidate will have an emerging national reputation as a scholar based on high-quality productivity. The substantial probability that a high rate of quality scholarship will continue needs to be established. The claim that retention of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported. Excellence in teaching means providing to all students the opportunity to realize their full capabilities for learning in the social and behavioral sciences and providing to the most capable and motivated students an enhanced learning experience.

Excellence in service means making available a high level of professional expertise and experience to one or more publics--including the university, the

Columbus community, the state of Ohio, the nation, and professional organizations. The service contribution during the probationary period of assistant professors is limited by design. The most important judgment is that the candidate will achieve excellence in service in the future.

**Promotion to professor** in the College of Social and Behavioral Sciences requires excellence in both scholarship and teaching. Excellence in service is highly desirable.

Excellence in scholarship means attainment of measurable national and international recognition based on an appropriate amount and rate of high quality published research or other relevant creative endeavors. A successful candidate will have achieved national distinction as a scholar based on high-quality productivity and have an emerging international reputation. The substantial probability that a high rate of quality scholarship will continue needs to be established. The claim that promotion of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported. Excellence in teaching means providing to all students the opportunity to realize their full capabilities for learning in the social and behavioral sciences and providing to the most capable and motivated students an enhanced learning experience.

Excellence in service means making available a high level of professional expertise and experience to one or more publics--including the university, the Columbus community, the state of Ohio, the nation, and professional organizations.

External hires at the associate or full professor level with tenure will demonstrate the same accomplishments in research, teaching and service as persons promoted within the university.

#### Regular Research-Track Faculty

**Promotion to research associate professor** in the College of Social and Behavioral Sciences requires excellence in scholarship. The promise of excellence in service is desirable.

Excellence in scholarship means attainment of measurable national and international recognition based on an appropriate amount and rate of high quality published research or other relevant creative endeavors. A successful candidate will have an emerging national reputation as a scholar based on high-quality productivity. The substantial probability that a high rate of quality scholarship will continue needs to be established. There is an expectation of a record of significant external support for research and a substantial probability that external support for research will continue. The claim that retention of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported.

Excellence in service means making available a high level of professional expertise and experience to one or more publics--including the university, the Columbus community, the state of Ohio, the nation, and professional organizations. The service contribution during the probationary period of assistant professors is limited by design. The most important judgment is that the candidate will achieve excellence in service in the future.

**Promotion to research professor** in the College of Social and Behavioral Sciences requires excellence in scholarship. Excellence in service is highly desirable.

Excellence in scholarship means attainment of measurable national and international recognition based on an appropriate amount and rate of high quality published research or other relevant creative endeavors. A successful candidate will have achieved national distinction as a scholar based on high-quality productivity and have an emerging international reputation. The substantial probability that a high rate of quality scholarship will continue needs to be established. There is an established record of significant external support for research and a substantial probability that external support for research will continue. The claim that promotion of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported.

Excellence in service means making available a high level of professional expertise and experience to one or more publics--including the university, the Columbus community, the state of Ohio, the nation, and professional organizations.

External hires at the associate or full professor level will demonstrate the same accomplishments in research and service as persons promoted within the university.

## **POLICIES GOVERNING ALLOCATION OF COLLEGE RESOURCES**

The allocation of college resources is determined by the dean, in consultation with the appropriate constituencies for the specific purpose. These constituencies may include the associate deans, assistant deans, senior fiscal officer, unit heads (either individually or as a whole in the college Executive Committee), center and program directors and their oversight committees, and/or the Budget and Planning Committee, as appropriate.

## **GRIEVANCE PROCEDURES**

## **Faculty Salary Appeals**

Reviews of faculty salary appeals are conducted by the college in accord with university policies and procedures. When a faculty member inquires about a salary appeal with the unit head, the unit head discusses the appeal process with that faculty member and provides him or her with a copy of the college protocol. Eligibility for an appeal and the procedure to initiate an appeal are established by the university salary appeals process.

At the unit level, the college salary review protocol is used by the appellant faculty member to guide the selection of a comparison cohort and establish the basis for comparison of productivity. The comparison cohort must be approved by the tenure initiating unit head and the dean before the documentation is developed. The faculty member is provided access to his or her unit's vita book and salary data.

**1. Selection of a comparison cohort.** A comparison cohort is selected, based on the number of years that have elapsed since they received their Ph.D. degrees, with the complainant in the middle of the cohort and other unit faculty of the same rank with plus-or-minus  $x$  years of service included. The ideal cohort will be symmetrical and composed of 5-6 individuals; deviations from this ideal may be necessitated by asymmetrical distributions of faculty in a unit or overall cohort pool size constraints. The value of  $x$  is established in relation to the size and distribution of faculty members in the complainant's unit. When the complainant requests a comparison with a named individual, the cohort may be enlarged to include that person if that person is not part of the comparison cohort of five or six individuals based on years of service. In such a case, the value of  $x$  is increased symmetrically to include the named comparison individual, as well as others who fall within the range of the new  $x$ . Current and former unit heads are excluded from the cohort.

**2. Basis for comparison.** Comparative data on scholarship for the cohort are gathered and presented in rank-order tabular form for the years since receiving the Ph.D. degree on: (1) authored books (separating textbooks from monographs); (2) edited books; (3) refereed articles in scholarly journals (separating flagship journals from others); (4) book chapters; (5) citations based on the Social Science Citation Index, the Science Citation Index, and the Humanities Citation Index, excluding self-citations; and (6) externally-funded research (including the number and dollar value of awards). An additional table presents in rank order the average annual rates of productivity for these items. In both tables, the complainant's data are identified by name.

Instructional data on the cohort for the past five years at Ohio State University are also gathered and presented in rank-order tabular form for the following items: (1) lower division courses taught; (2) upper division courses taught; (3)

graduate courses taught; and (4) doctoral dissertation advisorships; (5) Ph.D. and M.A. committee service during the past five years at Ohio State University. Reductions in instructional loads for those individuals holding administrative or research appointments are noted, and individuals who have not served at Ohio State University for at least five years are excluded from this section of the analysis.

Finally, service data on the cohort are gathered and presented in rank-order tabular form for the following service items: (1) unit committee assignments; (2) unit administrative assignments (e.g., chair, graduate studies committee); (3) university committee assignments; and (4) major service to professional organizations (e.g., officer, program chair) during the past five years of service at Ohio State University. Those individuals who have not been Ohio State University faculty members for at least five years are excluded from this section of the analysis, except that data on service to the profession may be included.

**3. Analysis and findings.** A brief narrative summarizing the research, instruction, and service data are prepared, highlighting the complainant's standing in comparison with the cohort. A table is formulated that presents summary judgments on the rank ordering of the complainant across the three groupings of items. Such a table includes salary data for the cohort, and is presented rank-ordered by salary with only the complainant identified. The narrative concludes with the unit head's judgment of whether or not the complainant's salary is commensurate with his or her performance when compared with the cohort.

**4. Unit head responsibilities.** The academic unit head may request additional information from the faculty member. Upon review of the complaint, the unit head responds in writing to the complainant including the unit head's judgment of whether or not the complainant's salary is commensurate with his or her performance when compared with the cohort. Details on the salaries of cohort members who have received salary adjustments in response to external offers should be provided.

**5. Recommendation for a salary adjustment.** If a complainant's salary is incommensurate with performance, the unit head recommends a salary adjustment. The unit head presents a brief supporting narrative, placing the individual along the cohort's salary continuum, based on performance. The dean reviews the recommendation of the unit head. Additional data and analysis may be required if the dean determines that the evidence supporting the recommendation is insufficient. If the dean concurs with the unit head's judgment, the procedures specified in the university appeals process are followed. If the dean disagrees with the recommendation of the unit head, the appeal is sent to the college's Faculty Salary Appeals Committee.

**6. Faculty Salary Appeals Committee.** The Faculty Salary Appeals Committee consists of the SBS faculty members of the college's Investigations

Committee. A three-person subcommittee is selected by random draw to hear an appeal. A committee member may not serve on the subcommittee if he or she is part of the faculty of a respondent's or a complainant's unit, or if a person or professional relationship with the respondent or complainant makes subcommittee membership inappropriate. If such disqualified committee members are drawn at random to serve on a subcommittee, they are replaced at random from the remaining SBS committee members. Committee responsibilities are specified in the university appeals process. The dean's response options to the committee's recommendation are specified in the university process.

### **Other Grievances**

Faculty members wishing to put forward grievances not related to salary should first contact their unit head. If the grievance concerns the unit head or if the unit head is not the appropriate contact for some other reason, the faculty member should bring the matter to the attention of the dean. Procedures to be followed will be determined by university rules, depending on the nature of the grievance.

### **STATEMENT ON FACULTY RULE**

The College of Social and Behavioral Sciences is committed to the idea of faculty governance. Votes of the entire college faculty (see definition of voting privileges, page 4) are arranged on issues as required by the university rules. Consistent with the college philosophy of decentralization of governance, units in the college are self-governing on matters not directly specified otherwise in the university rules. Decision-making in the units is governed by the specific pattern of administration document for that unit.

### **AMENDMENTS**

Minor revisions to this pattern of administration can be made by the dean's office, to bring the document into compliance with changes in university rules and procedures, without consultation of the faculty of the college. Major substantive revisions to this pattern of administration are made after consultation with the college's Executive Committee and the faculty – and, where promotion and tenure matters are concerned, the college's Promotion and Tenure Committee.

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