

# **PATTERNS of ADMINISTRATION**

## **DEPARTMENT of MICROBIOLOGY DIVISION OF NATURAL AND MATHEMATICAL SCIENCES COLLEGE OF ARTS & SCIENCES**

**Approved by faculty vote: August 26, 2014**

### **I. INTRODUCTION**

This document provides an overview of the administrative policies and procedures in the Department of Microbiology at The Ohio State University. Additional Departmental documents describe the Graduate and Undergraduate teaching programs and their requirements, and the criteria and procedures for faculty appointments, promotion, and salary adjustments. This document is subject to continuing revision, and statements made here are superseded by University statutes and rules.

### **II. MISSION**

The mission of the Department is to provide a comprehensive education in Microbiology and to extend, through investigative research, the body of knowledge that forms the discipline of Microbiology. Student education is accomplished through formal lectures, laboratory exercises, tutorials and one-on-one discussions and demonstrations. Microbiology is an experimental science and an education in Microbiology requires extensive exposure of undergraduate and graduate students to laboratory experiences. The Department's mission therefore includes maximizing student access to appropriate laboratory facilities, research equipment and financial support. The research interests and teaching activities of the faculty in the Department are varied. Faculty members disseminate knowledge and research expertise over a wide range of topics within the discipline of Microbiology to students enrolled at OSU and, as a service, also to government, private organizations and to individuals. The multiple missions of the Department of Microbiology, expected by the University of all Departments, are formally designated as Teaching, Research and Service.

### **III. OVERVIEW of DEPARTMENTAL ADMINISTRATION and DECISION-MAKING**

Policy and program decisions can be made by the faculty of the Department as a whole, by standing or special committees of the Department, or by the Chair. The nature and importance of an individual matter dictates the decision-making procedural path followed. Matters of the most general importance are dealt with first in one of the standing committees and then in a full Departmental meeting. Matters of less importance, or of a more specific nature, may be decided by the Committees themselves or by the Chairperson. Any topic and related decision can be brought for review to a full Departmental meeting by being placed on the meeting agenda by the Chairperson, the Committees, or an individual member of the faculty. The Department proceeds on the general principle that the more important

the matter, the more widespread the agreement on a decision must be. Open and widely shared discussions, both formal and informal, constitute the primary vehicle for reaching agreement on decisions. On matters submitted for formal voting, a simple majority in favor passes a motion.

#### **IV. FACULTY**

Every faculty member with a salaried appointment in the Department of Microbiology, or with a salary provided by a regional campus but with a faculty appointment in Microbiology, is considered a faculty member with voting privileges in the Department of Microbiology. Voting on personnel matters such as promotion and tenure is restricted to eligible faculty members for whom Microbiology is their tenure-initiating unit. For salaried faculty with minority appointments for whom Microbiology is not the tenure-initiating unit, voting rights on matters other than promotion and tenure are determined by a memorandum of understanding. Memoranda of understanding will be agreed upon following discussions with the tenure-initiating unit and with input from Department of Microbiology faculty. Non-salaried, non-tenure track, adjunct and emeritus faculty are encouraged to participate in discussions of all issues, and may attend faculty meetings, but do not have a vote on issues decided by a formal vote.

#### **V. DEPARTMENT CHAIR**

The Chair of the Department has general administrative responsibility for its programs, and develops, in consultation with faculty, a pattern of administration (this document) that is made available to all present and prospective members of the faculty of the Department. Copies are deposited in the offices of the Divisional Dean of Natural and Mathematical Sciences, the Executive Dean of the College of Arts and Sciences, and the Executive Vice President and Provost. The Chair maintains documentation of all actions covered by the Department's administrative structure. The Chair consults with the faculty as a whole on all policy matters, and whenever possible, at a meeting of the faculty. As policy, it is presumed that all decisions are made with the agreement of a majority of the faculty, but situations can arise that conflict with this presumption. Under such a circumstance, the Chair will provide a statement that outlines the decision of the majority of the faculty, the decision of the Chair, and the reasons that these may differ. This will be provided to the faculty in writing, and communicated at a faculty meeting, with the faculty given an opportunity to comment.

The Chair consults with the faculty before the initiation of a search for a new faculty member, and at each stage during the review and selection process. The Chair always appoints a Search Committee to advertise, solicit nominations, evaluate and help recruit a new faculty member.

The Department's teaching and service needs are decided and modified through informal and formal discussions between individual faculty members, standing committees and the Chair. Based on such discussions and consultations, the Chair assigns teaching and service duties to each faculty member, and provides a list of all faculty teaching and committee assignments annually to all faculty members.

The Chair ensures that adequate training and mentoring are available to all faculty

members and staff who may profit from such assistance. Faculty and staff members are encouraged to review their primary personnel files and to place in that file a response to any annual review evaluation, comment or other material contained in the file. After consultation with the relevant faculty and appropriate committees, the Chair recommends all faculty and staff appointments, promotions, dismissals, and decisions on matters affecting faculty tenure to the Divisional Dean of Natural and Mathematical Sciences.

## **VI. DEPARTMENT VICE CHAIRS**

Two Department Vice Chairs one for Research and Graduate Affairs, and one for Teaching and Undergraduate Affairs will assist the Chair in her/his duties. Vice Chairs serve at the pleasure of the Chair and their appointments are renewable annually by mutual agreement.

**A. Vice Chair for Research and Graduate Affairs.** This Vice Chair serves as Chair of the Graduate Studies Committee and is responsible for developing and promoting an outstanding training environment for graduate students, maintaining quality assurance in graduate learning outcomes, and fostering communication between graduate students, their advisory committees and their supervisors, to ensure that all graduate students receive timely and necessary mentorship for success in their graduate programs. This individual also oversees and manages the research interests within the Department, ensures that new faculty are mentored with respect to research policies and procedures and the training of graduate students, and participates in developing vision and strategic planning for research directions.

**B. Vice Chair for Teaching and Undergraduate Affairs.** This Vice Chair serves as Chair of the Undergraduate Curriculum Committee and is responsible for the supervision of teaching staff and the coordination and oversight of all undergraduate courses in the department. The Vice Chair, in consultation with the Chair of the Graduate Studies Committee and professional teaching staff, will assign Graduate Teaching Assistantships. The Vice Chair also acts as an ombudsperson for undergraduate courses and serves as the liaison with other departments and the College of Arts and Sciences on issues of assessment and undergraduate curriculum development.

## **VII. DEPARTMENT COMMITTEES**

Departmental committees, with the exceptions of the Promotion and Tenure and Grievance Committees, are constituted by faculty, staff and/or students appointed by the Chair of the Department. Committee appointments are normally for one calendar year, from September 1 to August 31, and may be renewed for up to three consecutive years. The Department Chair is an *ex-officio* member of all department committees, and is non-voting on the Promotion and Tenure Committee.

**A. Committee of the Eligible Faculty** This committee evaluates and makes recommendations to the Chair regarding promotions and tenure. The procedures and bases of evaluation of the committee and Promotion and Tenure Chair are described in the Departmental document entitled *Criteria and Procedures for Promotion and Tenure* (APT Document). A copy of this document, and updates to this document, are provided to all faculty.

**B. Graduate Studies Committee.** The Graduate Studies Committee consists of 5 faculty members with graduate faculty status, and one graduate student who has passed the Ph.D. candidacy examination in the Microbiology Graduate Program. The Vice Chair for Research and Graduate Affairs serves as Chair of the Committee. The committee has oversight over the Ph.D. and the M.S. programs in Microbiology, including all policies and procedures, enrollment, disciplinary quality assurance in graduate learning outcomes, and the overall graduate student experience. It evaluates, recommends and monitors admission standards, the graduate curriculum and degree requirements. It manages rules for graduate studies that emanate from the Department, the Graduate School and other units in the University concerned with graduate education. It is formally responsible for the approval of laboratory placements for students, evaluates and nominates applicants for University fellowships, and oversees appointments of graduate teaching associates in consultation with the Vice Chair for Teaching and Undergraduate Affairs. The committee monitors the timely progress of all students and fosters effective communication between the students and their advisory committees, to ensure the productive progress of all graduate students in the unit toward their Degree. It evaluates and nominates applicants for other forms of financial assistance provided by the Department. The Committee is responsible for maintaining records of current and former graduate students.

**C. Graduate Admissions Committee.** The Graduate Admissions Committee consists of 5-6 faculty members with graduate faculty status in the Microbiology graduate program, including non-salaried members of the program, and one graduate student who has passed the Ph.D. candidacy examination in the Microbiology graduate program. The Chair of the Committee is appointed by the Department Chair. This Committee has primary responsibility for recruitment and admission of graduate students.

**D. Undergraduate Curriculum Committee.** The Undergraduate Curriculum Committee consists of 5-6 tenure-track faculty, 1-2 non tenure-track faculty or teaching staff and undergraduate students. The Vice Chair for Teaching and Undergraduate Affairs serves as Chair of the Committee. This Committee has primary responsibility for evaluation and implementation of the Department's classroom and laboratory-based undergraduate teaching. The Committee evaluates and makes recommendations related to changes and improvements in the Microbiology Major, the content of ongoing and proposed new courses, course prerequisites and course scheduling. The Committee plans and implements assessment programs as guided by the Curriculum and Assessment office of the College of Arts and Sciences, and reports its findings to the Chair and College. It responds, as needed, to changes in the General Education requirements in the College of Arts & Sciences, and assists the Chair of the Department in responding to other departments considering the introduction or modification of courses that relate to, or interface with, the Department's teaching of Microbiology.

**E. Awards Committee.** This Committee consists of 3-4 faculty and 1-2 staff members. The Department Chair appoints the Chair of the Committee. The Committee identifies possible award opportunities for faculty, staff and students, and submits nominations with the assistance of the Chair, as needed.

**F. Grievance Committee.** All Professors in the Department, excluding the Department

Chair, constitute the Department's Grievance Committee. The Vice Chair for Teaching and Undergraduate Affairs serves as Chair of the Committee. This Committee addresses any issue of concern raised by a faculty member, staff member or student that cannot be resolved to the satisfaction of the complainant through discussion with the Department Chair. If preferred by the complainant, a grievance can be brought to the attention of any member of the Grievance Committee without prior discussion with the Department Chair.

**G. *Ad hoc* Committees.** The Chair appoints *ad hoc* committees to address specific issues as such needs arise. Examples would be faculty search committees, specific course or program review committees, and committees to develop and write proposals to generate university, state and/or federal support for teaching and research programs related to the Department's mission.

## **VIII. FACULTY MEETINGS**

Faculty meetings are scheduled approximately once per calendar month, with the faculty informed in advance, by the Chair, of the date, time, location and agenda. Additional meetings are called when needed to deal with matters of urgent concern. At minimum, two faculty meetings will be held during every semester. All professors, associate professors, assistant professors, instructors, and associated faculty with salaried appointments in the Department of Microbiology are invited to all faculty meetings. Individuals holding other appointments may be invited as appropriate. A graduate student and a staff representative are invited to attend faculty meetings. A meeting agenda is prepared by the Chair based on input from the Chairs of Departmental committees, Departmental representatives on College and University committees and individual faculty members who identify items for discussion. The Chair maintains and distributes minutes of all faculty meetings to all Departmental faculty. A simple majority vote in favor approves all motions and issues. At minimum, 50% of the voting faculty plus one (1) must be present to constitute a quorum, but meetings are not scheduled when a majority of the faculty cannot attend.

## **IX. FACULTY DUTIES AND RESPONSIBILITIES**

Faculty duties in the Department of Microbiology include research, instruction at both the graduate and undergraduate levels, and professional service both on and off campus. The Chair has the responsibility to assure that every faculty member has assigned duties commensurate with fulfilling the Department's mission, and with his or her appointment. The Chair has the primary responsibility and authority to assign teaching and Departmental service activities. Faculty members are expected to exercise self-determination in committing their time to scholarship and other professional activities. The Chair will not approve a faculty member's request for relief from a Departmental obligation to devote time to personal or professional interests if these are not considered to be in the best interests of the Department. During an on-duty period, a faculty member is expected to be available on a regular basis for interactions with students, service assignments, and other Departmental responsibilities, even if no formal course teaching is assigned that term.

**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. Scholarly activity:** The acquisition of new knowledge through research is the primary scholarly activity of the faculty the Department of Microbiology. This activity also provides the basis and opportunity for individualized education and training of students (see below). All faculty are expected to develop and maintain an independent, externally funded research program, with typically ~50% of the professional activity of a faculty member being appropriately committed to research scholarship, training and education. Evidence of strong research activity will be documented primarily by the publication of original, peer-reviewed reports in scientific journals. Additional evidence will be required in the form of review articles, book chapters, books and/or scientific presentations at national and international meetings and at other institutions. Local support will be provided initially to help a faculty member equip and establish his or her research program. Every faculty member is then expected to generate extramural research funds to provide continuing financial support for their research and laboratory personnel.

**B. Instructional activity:** All faculty participate in instruction, which includes both classroom teaching and individualized student education and training. Approximately 40% of a faculty member's professional time is appropriately committed to instructional activities.

**C. Classroom teaching:** Typically, a full time (9 month) faculty member with a 100% appointment in the Department will be responsible for ~50 hours of formal classroom instruction per year. Some courses are team taught, and this instruction may be distributed over several courses. In addition to the classroom teaching, this responsibility includes the considerable time required to develop new courses and to update course materials annually, to write and grade examinations and laboratory reports, and to conduct both formal and informal review sessions. Advanced courses for graduate students are developed and taught on contemporary and topical themes. For faculty with less than a 100% appointment in the Department of Microbiology, this teaching responsibility will be reduced in line with their percentage appointment and as described in the memorandum of understanding agreed upon with the unit with which they share an appointment. As a policy, classroom-teaching responsibilities will be higher for faculty with less active research programs. Classroom teaching responsibilities may be reduced (see below) for faculty very early in their professional career, faculty with exceptionally large and productive research programs, or faculty with very time-consuming service responsibilities. At minimum 30 hours, and at maximum 150 hours, of classroom teaching responsibility is expected of faculty in the Department of Microbiology. Associated faculty will have expectations that match their position descriptions, which may include a larger teaching or advising component.

**D. Individualized teaching:** Individualized instruction is essential to the education and development of future scientists, and this constitutes a major teaching responsibility of the faculty in the Department of Microbiology. All faculty are expected to participate in individualized instructional and to commit 1 to 4 hours per day (250 to 1000 hours per year) to such activity. This teaching is primarily focused on research instruction and supervision at the undergraduate, graduate, and postdoctoral levels. Faculty are also expected to participate in laboratory rotations for first year graduate students, provide academic and career advice to undergraduate and graduate students, organize and supervise seminars, organize group meetings and workshops, participate in general examinations and dissertation examinations, advise and assist students as they apply to graduate and professional schools or postdoctoral positions, assist students who are competing for scholarships and fellowships, and other such activities that are inherent to education in the academic setting.

## **X. SERVICE ACTIVITY**

All tenure-track faculty are expected to devote ~10% of their effort to service activities. These include but are not limited to committee assignments at the department, college and university level and service to state, national or international organizations. Faculty are expected to review research manuscripts and grant proposals, serve as members of editorial boards and grant review panels, and to provide their professional knowledge as a service to individuals and organizations both on- and off-campus. Untenured faculty, who are establishing their independent research programs and initiating their teaching activities, will have fewer assigned service responsibilities than tenured faculty. Senior level faculty are expected to undertake leadership roles in their service activities.

## **XI. DEPARTURE FROM NORMAL EXPECTATIONS**

Exceptions from the normal expectations will be made when appropriate to a particular circumstance. Examples include:

**A.** A faculty member who directs a very large research program with unusually high levels of funding will have reduced expectations for classroom teaching or service activities. Such a faculty member will provide a high level of individualized instruction in line with their increased research activity.

**B.** A faculty member assigned a particularly important and time-consuming service activity may have a reduced teaching or research expectation.

**C.** A faculty member whose research activity is reduced will have above average classroom teaching and/or service responsibilities. The workload profile of such a faculty member will be determined through negotiations with the Chair on an individual basis.

**D.** Untenured faculty members will have reduced classroom teaching and service initially to provide the time needed to establish a productive and funded research program

and to undertake individualized teaching.

### **E. Special Assignments**

Information on special assignments (SAs) is presented in the Office of Academic Affairs Special Assignment Policy (<http://oaa.osu.edu/assets/files/documents/specialassignment.pdf>). The information provided below supplements these policies.

Untenured faculty will normally be provided an SA for research for one semester, during their probationary period. Reasonable efforts will be made to award SA opportunities to all other faculty members subject to the quality of faculty proposals, including their potential benefit to the department or university, and the need to assure that sufficient faculty are always present to carry out department work. The Chair in conjunction with the Vice Chairs will evaluate all SA proposals. The chair's recommendation to the dean regarding an SA proposal will be based on the quality of the proposal and its potential benefit to the department or university and to the faculty member as well as the ability of the department to accommodate the SA at the time requested.

## **XII. ALLOCATION of DEPARTMENT RESOURCES**

The Chair authorizes all expenditures of Department funds and allocates available Departmental equipment and space to individual faculty. Decisions on major expenditures are made following faculty discussion. Decisions on the allocation of Departmental Graduate Teaching Assistants are made based on recommendations of the Graduate Studies Committee.

## **XIII. PERSONNEL APPOINTMENTS, FACULTY PROMOTIONS, TENURE REVIEW, SALARY ADJUSTMENTS**

The procedures followed for faculty recruitment, promotion, tenure review and salary adjustments are described in the departmental document entitled *Criteria and Procedures for Promotion and Tenure*.

## **XIV. LEAVES AND ABSENCES**

The university's policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>) and on the Office of Human Resources Policies and Procedures website (<http://hr.osu.edu/policy/>). In general, there are four kinds of leaves and absences taken by faculty (in addition to a parental leave, which is detailed in the APT Document).

**A. Discretionary Absence.** Faculty members are expected to complete a travel request well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that

instructional and other commitments are covered. Discretionary absence from duty is not a right and the College retains the authority to disapprove a proposed absence when instruction or other activities are negatively impacted by the leave, as identified by Chairs. Under University Faculty Rule 3335-5-08, the Office of Academic Affairs must approve any discretionary absence longer than ten continuous business days.

**B. Absence for Medical Reasons.** When absences for unexpected medical reasons occur, the faculty member, or someone speaking for the faculty member, should inform Chair promptly so that instructional and other commitments can be managed. The Chair must inform the Divisional Dean of the unexpected absence. For additional details see OHR Policy 6.27 available at: [www.hr.osu.edu/policy/index.aspx](http://www.hr.osu.edu/policy/index.aspx).

**C. Unpaid Leaves of Absence.** The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR Policy 6.45 available at: [www.hr.osu.edu/policy/index.aspx](http://www.hr.osu.edu/policy/index.aspx). The college requires that the Divisional Dean be informed of the unpaid leave of absence.

**D. Faculty Professional Leave (FPL).** Information concerning faculty professional leaves (FPLs) is presented in the OAA Policy on Faculty Professional Leaves (<http://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>). Applications for FPL, which must follow the format determined by the Office of Academic Affairs, must be peer-reviewed in the Department by the Chair in conjunction with the Vice Chairs. The Chair reviews the application and forwards only those recommended for approval to the Divisional Dean by the established deadline (which is typically in mid-January). The Chair's recommendation to the Dean regarding the proposed FPL will be based on the quality of the proposal and its potential benefit to the Department and to the faculty member as well as the ability of the Department to accommodate the leave at the time requested. All other requests for leaves by faculty will be sent to the Chair for a recommendation that is then sent to the Divisional Dean for approval.

## **XV. SUPPLEMENTAL COMPENSATION and PAID EXTERNAL CONSULTING ACTIVITY**

Policies on Faculty Supplemental Compensation are available at: <http://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>

Policies on the Faculty Paid External Consulting are available at: <http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>

Faculty members are expected to carry out the duties associated with their primary appointments with the university at a high level of performance before seeking other income-enhancing opportunities. All activities providing supplemental compensation must be approved by the Department Chair and by the Divisional Dean, regardless of the source of compensation. External consulting must also be approved. Approval will be contingent on the extent to which a faculty member is carrying out expected duties at an acceptable level of performance, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the

department or the college. It is university policy that faculty may not spend more than one business day per week on supplemental compensated activities and external consulting combined.

## **XVI. FINANCIAL CONFLICTS OF INTERESTS**

The university's Financial Conflict of Interest Policy is available at:  
<http://oaa.osu.edu/assets/files/documents/FinConfInt.pdf>

A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any university duty or responsibility, including designing, conducting, or reporting research. Faculty members are required to file conflict of interest screening forms annually, and more often if prospective new activities pose the possibility of financial conflicts of interest.

## **XVII. GRIEVANCE PROCEDURES**

Faculty, staff and students are encouraged to bring all grievance concerns, in confidence, to the attention of the Chair, or to a member of the Departmental Grievance Committee if a discussion with the Chair could constitute a conflict-of-interest. If a concern cannot be resolved through such discussion with the Chair and/or Grievance Committee, then, with the complainant's approval, resolution of the issue will be sought from the relevant faculty, staff or student-related university advisory or governance organization.

**A. Salary Grievances.** A faculty or staff member who feels that his or her salary is inappropriately low should discuss the matter with the Chair, and provide documentation to support the case. Faculty members who are not satisfied with the outcome of the discussion may be eligible to pursue a more formal salary appeal as specified in the POA of the College of Arts and Sciences and in the OAA Handbook: <http://oaa.osu.edu/handbook.html> Staff members who are not satisfied with the outcome of the discussion should contact Consulting Services: <https://hr.osu.edu/elr/consultants.aspx>

**B. Faculty Misconduct.** Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04  
<http://trustees.osu.edu/university/facultyrules>

**C. Faculty Promotion and Tenure Appeals.** Procedures and rules are described in the APT document.

**D. Sexual Harassment.** Policies and procedures related to sexual harassment are described in OHR Policy 1.15 <http://hr.osu.edu/policy>

**E. Student Complaints.** Student complaints about courses, grades, and related matters normally are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about

courses and instructors to the Department Chair, the Chair will first ascertain whether the students require confidentiality. If confidentiality is not required, the Chair will investigate the matter as fully and fairly as possible and provide a response to both the student(s) and any affected faculty. If confidentiality is required, the Chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not. The Divisional Dean or the Divisional Dean's designee will investigate student complaints that are forwarded to the College office with the assistance of the Assistant Executive Dean for Advising and Academic Services. In accordance with University Rule 3335-8-23 (B), with respect to grade grievances, the findings of the faculty committee of the Department are final – the issue is not appealable as it may be for non-grade grievance petitions.

Faculty complaints regarding students must always be handled strictly in accordance with university rules and policies. Faculty should seek the advice and assistance of the Chair and others with appropriate knowledge of policies and procedures when problematic situations arise. In particular, evidence of academic misconduct must be brought to the attention of the Committee on Academic Misconduct (see <http://oaa.osu.edu/coam.html> and <http://senate.osu.edu/committees/COAM/COAM.html>).

## **XVIII. DISCLAIMER**

None of the above policies constitute a contractual obligation. Fluctuations in resources and the teaching mandate of the Department, and changes in the individual circumstances of a faculty member, may warrant temporary deviations from any general policy.