

Department of Chemical and Biomolecular Engineering
Pattern of Administration

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1. INTRODUCTION

- 1.1 **Purpose:** The purpose of this Pattern of Administration (POA) is to describe the policies and structure concerning the governance of the Department of **Chemical and Biomolecular Engineering**. The goal of the policies and structure is to facilitate the orderly conduct of the business of the Faculty of the Department of Chemical and Biomolecular Engineering. The policies and structure supplement the Rules of the University Faculty, (<http://trustees.osu.edu/ChapIndex/index.php>), the office of Academic Affairs policies and procedures (http://oaa.osu.edu/OAAP_PHandbook.php), the College of Engineering POA (<http://engineering.osu.edu/faculty/info.php>) and any additional policies established by the University or College of Engineering. Should these policies and rules change, the Department shall follow those new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed during the year of appointment, or reappointment of the Chair of the Department.
- 1.2 **Scope:** All Department matters concerning which the Faculty has power to act are governed by this POA. Powers of the faculty are either outlined in this document, are delegated to committees, or delegated to the Chair of the Department.
- 1.3 **Interpretation:** This POA shall be interpreted consistently with applicable statutes, the By-Laws of the Board of Trustees, and the Rules of the University Faculty.
- 1.4 **Meetings.** Meetings of the Faculty of the Department and its committees and any subcommittees shall be governed by Roberts Rules of Order, newly revised (1990) and shall be open to all persons except where a compelling reason requires otherwise.

2. DEPARTMENT MISSION

The Mission of the Department of Chemical and Biomolecular Engineering is:

To educate undergraduate and graduate students in Chemical and Biomolecular Engineering and foster cross-fertilization with other disciplines.

To advance the state-of-the-art knowledge of Chemical and Biomolecular Engineering and allied fields through novel and sustained research.

To serve the public, academic and industrial communities through consultation, collaborative efforts, dissemination of research results, entrepreneurship and participation in conferences and professional societies.

To value diversity as defined broadly in scholarship, approaches to teaching and in student, faculty and staff composition.

3. FACULTY

There are five types of faculty in the Department of Chemical and Biomolecular Engineering: tenure track, clinical track, research track, auxiliary, and courtesy. (It is noted that instructors are a sub class of tenure track faculty). It is recognized that at any one time, there will probably not be representative members of each these five types of faculty members active. A complete discussion of these five types of faculty, as well as criteria for appointment, promotion, and tenure (APT) can be found in the Department of Chemical and Biomolecular Engineering APT document.

4. ORGANIZATION OF DEPARTMENT, SERVICES and STAFF

4.1 OVERVIEW OF DEPARTMENTAL ADMINISTRATION & DECISION-MAKING.

Policy and program decisions are made in a number of ways: by the department faculty as a whole, by standing or special committees of the department, or by the chair. The nature and importance of any individual matter determines how it is addressed. Department governance proceeds on the general principle that the more important the matter to be decided, the more inclusive participation in decision making needs to be. Open discussions, both formal and informal, constitute the primary means of reaching decisions of central importance.

4.2 DEPARTMENT ADMINISTRATION. CHAIR

The primary responsibilities of the chair are set forth in Faculty Rule 3335-3-35 <http://trustees.osu.edu/rules3/ru3-35.php>. This rule requires the chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule 3335-6 <http://trustees.osu.edu/rules6/ru6index.html>, also requires the chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to promotion and tenure (the Appointments, Promotion and Tenure document; see <http://oaa.osu.edu/OAAPPHandbook.php>).

Other responsibilities of the chair, not specifically noted elsewhere in this Pattern of Administration, are paraphrased and summarized below.

- To have general administrative responsibility for department programs, subject to the approval of the dean of the college, and to conduct the business of the department efficiently. This broad responsibility includes the acquisition and management of funds and the hiring and supervision of faculty and staff.
- To plan with the members of the faculty and the dean of the college a progressive program; to encourage research and educational investigations.
- To evaluate and improve instructional and administrative processes on an ongoing basis; to promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation by students of the course and instructors, and periodic course review by the faculty.
- To evaluate faculty members annually in accordance with both University and department established criteria; to inform faculty members when they receive their annual review of their

right to review their primary personnel file maintained by their department and to place in that file a response to any evaluation, comment, or other material contained in the file.

- To recommend appointments, promotions, dismissals, and matters affecting the tenure of members of the department faculty to the dean of the college, in accordance with procedures set forth in Faculty Rule 3335-6 <http://trustees.osu.edu/rules6/ru6index.html> and this department's Appointments, Promotion and Tenure document.
- To see that all faculty members, regardless of their assigned location, are offered the departmental privileges and responsibilities appropriate to their rank; and in general to lead in maintaining a high level of morale.
- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.
- To represent the Department to Alumni and other groups outside the University.

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

Operational efficiency requires that the chair exercise a degree of autonomy in establishing and managing administrative processes. The articulation and achievement of department academic goals, however, is most successful when all faculty participate in discussing and deciding matters of importance. The chair will therefore consult with the faculty on all educational and academic policy issues and will respect the principle of majority rule. When a departure from majority rule is judged to be necessary, the chair will explain to the faculty the reasons for the departure, ideally before action is taken.

4.3 COMMITTEES

Much of the development and implementation of the department's policies and programs is carried out by standing and ad hoc committees. The chair is an ex officio member of all department committees and may vote as a member on all committees except the Promotion and Tenure Committee.

A list of current standing committees in the Department are:

- Promotion and Tenure
- Curriculum
- Special Events
- Graduate Studies
- Faculty Recruitment
- Honors and Awards
- Safety
- Seminar

General committee practices. Faculty time is a limited commodity and should not be consumed with administrative tasks that could reasonably be accomplished in other ways. The members of the various committees are appointed yearly by the chair with the concurrence of the specific faculty member. It is understood that, as much as possible, the committees will operate to achieve a consensus when specific courses of action are required. In the case in which a consensus is not achievable with respect to a specific action needed, a majority and minority report will be presented.

4.4 Staff. The Chair is responsible for appointing, supervising, and evaluating the staff of the unit.

5. FACULTY MEETINGS

5.1 General. The chair will provide to the faculty a schedule of department faculty meetings at the beginning of each academic term. The schedule will provide for at least one meeting per academic term and normally will provide for monthly meetings. A call for agenda items and completed agenda will be delivered to faculty by e-mail before a scheduled meeting. Reasonable efforts will be made to call for agenda items at least seven days before the meeting, and to distribute the agenda by e-mail at least three business days before the meeting. A meeting of the department faculty will also be scheduled on written request of 25% of the department regular faculty. The chair will make reasonable efforts to have the meeting take place within one week of receipt of the request. The chair will distribute minutes of faculty meetings to faculty by e-mail—within seven days of the meeting if possible. These minutes may be amended at the next faculty meeting by a simple majority vote of the faculty who were present at the meeting covered by the minutes.

The department accepts the fundamental importance of full and free discussion but also recognizes that such discussion can only be achieved in an atmosphere of mutual respect and civility. Normally department meetings will be conducted with no more formality than is needed to attain the goals of full and free discussion and the orderly conduct of business. However, Robert's Rules of Order will be invoked when more formality is needed to serve these goals.

5.2 Voting. For purposes of discussing department business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum will be defined as a simple majority of all faculty eligible to vote. Either the chair or one-third of all faculty eligible to vote may determine that a formal vote conducted by written ballot is necessary on matters of special importance. For purposes of a formal vote, a matter will be considered decided when a particular position is supported by at least 51% of all faculty eligible to vote. Balloting will be conducted by mail or e-mail when necessary to assure maximum participation in voting. Special policies pertain to voting on personnel matters, and these are set forth in the department's Appointments, Promotion and Tenure document. When a matter must be decided and a simple majority of all faculty eligible to vote cannot be achieved on behalf of any position, the chair will necessarily make the final decision.

Consistent with the current Department APT document (3.6 and 3.7) faculty eligible to vote consists of only tenure-track faculty that have at least 50% appointments in Chemical and Biomolecular Engineering.

1. FACULTY WORKLOAD GUIDELINES

It is the policy of the Department that all regular tenure track faculty and clinical track faculty members will participate in the instruction of both undergraduate and graduate students. It is also the policy of the Department that faculty should make a balanced contribution to the other two primary responsibilities of the Department: research and service.

Assuming a balanced contribution in each of these three areas, the normal teaching load is one to two courses per quarter (typically 3 courses per year on a semester basis), with the assumption that over a given year these courses will range from standard, core undergraduate through graduate courses and electives. A reduction in teaching loads can be made for a number of reasons: 1) new, untenured faculty member, 2) university administrative duties (i.e. associate dean position, center director), 3) other significant activities that may warrant such reduction.

The Chair is responsible to make judgments with respect to balancing these various duties such that duties and responsibilities are commensurate with respect to individual faculty members appointments as well as maintaining as much equitability among faculty as possible.

6. COURSE OFFERINGS and TEACHING ASSIGNMENTS

The department chair will annually develop a schedule of course offerings and teaching schedules in consultation with the faculty, both collectively and individually. While every effort will be made to accommodate the individual preferences of faculty, the department's first obligation is to offer the courses needed by students at times most likely to meet student needs. To assure classroom availability reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students required by Faculty Rule 3335-8-17 <http://trustees.osu.edu/rules8/ru8-16-17.html> will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent quarter. Finally, to the extent possible, courses required in any curriculum or courses with routinely high demand will be taught by at least two faculty members across quarters of offering to assure that instructional expertise is always available for such courses.

7. ALLOCATION OF DEPARTMENT RESOURCES

The chair is responsible for the fiscal and academic health of the department and for assuring that all resources—fiscal, human, and physical—are allocated in a manner that will optimize achievement of department goals. The chair will discuss the department budget at least annually with the faculty and attempt to achieve consensus regarding the use of funds across general categories. However, final decisions on budgetary matters rest with the chair.

Research space shall be allocated on the basis of research productivity including external funding and will be reallocated periodically as these faculty-specific variables change. The allocation of office

space will include considerations such as achieving proximity of faculty in subdisciplines and productivity and grouping staff functions to maximize efficiency.

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

8. LEAVES & ABSENCES

The University's policies with respect to leaves and absences are set forth in the Office of Academic Affairs Policies and Procedures Handbook http://oaa.osu.edu/OAAP_PHandbook.php and Office of Human Resources Policies and Procedures website <http://hr.osu.edu/policy/policyhome.htm>. The information provided below supplements these policies.

9. DISCRETIONARY ABSENCE

Faculty are expected to complete an Application for Leave form well in advance of a planned absence (e.g. as for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular quarter is substantial. Faculty Rules require that the Office of Academic Affairs approve any discretionary absence of ten or more consecutive days.

10. ABSENCE FOR MEDICAL REASONS

When absences for medical reasons are anticipated, faculty members are expected to complete an Application for Leave form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. See OHR Policy 6.27 for details: <http://hr.osu.edu/policy/policy627.pdf>.

11. 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. Approval will be based on, but not limited to, the nature of the request, the extent to which the faculty member's responsibilities can be covered or deferred during the proposed absence, and the positive or negative impact on the department of the proposed absence. Unpaid leaves of absence require the approval of the dean, Office of Academic Affairs, and Board of Trustees. http://oaa.osu.edu/OAAP_PHandbook.php

12. SPECIAL RESEARCH ASSIGNMENTS

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

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

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

13. FACULTY PROFESSIONAL LEAVE

A Faculty Professional Leave constitutes a more formal departure from regular academic duties than a Special Research Assignment and may be one, two or three quarters in length for 9-month faculty and one, two, three, or four quarters in length for 12-month faculty. FPLs involve salary reductions and other considerations established by the Ohio legislature and University Board of Trustees and faculty considering an FPL should fully acquaint themselves with these policies before applying for leave (http://oaa.osu.edu/OAAP_PHandbook.php).

Faculty members who desire an FPL should discuss the matter with the department chair during their annual evaluation and prepare a proposal. It is suggested that the proposal address the following issues:

- 1) Request should be ordinarily be made no shorter than once every 7 years.
- 2) A plan for professional development and possible collaboration to be developed should be provided. Suggested topics in the plan include:
 - a) present the opportunity for new international or national collaborations
 - b) propose the completion of a body of scholarly work such as a book or a unique series of publication
 - c) propose developing new collaborations at Ohio State
 - d) propose developing new courses or improvements in teaching pedagogy
 - e) propose exploration of unique opportunities with colleagues from industry
 - f) propose participation in technology transfer from OSU to corporate entities, particular to help start-up companies get off the ground

(Note: In the case of limited availability of leave positions the proposals will be evaluated on their quality content with a bias in descending order from a-f)

- 3) The department should have adequate manpower to maintain its teaching obligations during the leave.
- 4) The Chair must support the request by letter to the Dean.
- 5) A report on professional progress made during the leave should be filed with the Chair no later than 1 month following the return to the department.

The department chair will indicate whether submission of a full proposal articulating the purpose and nature of the FPL is appropriate. Because FPL proposals must be approved by the Dean, Office of Academic Affairs, and Board of Trustees before they may be implemented, faculty should submit FPL proposals for a particular year no later than the end of Autumn Quarter of the preceding year, except when the development of an unexpected opportunity precludes such timing.

14. 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:
http://oaa.osu.edu/OAAP_PHandbook.php.

This department adheres to these policies in every respect. In particular, this department expects faculty members to carry out the duties associated with their primary appointment with the University at a high level of competence before seeking other income-enhancing opportunities. All activities providing supplemental compensation must be approved by the department chair regardless of the source of compensation. External consulting must also be approved. Approval will be contingent on the extent to which a faculty member is carrying out regular duties at an acceptable level, the extent to which the extra income activity appears likely to interfere with regular duties, and the academic value of the proposed consulting activity to the department. 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.

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

15. FINANCIAL CONFLICTS OF INTEREST

The University's policy with respect to financial conflicts of interest is set forth in the Office of Academic Affairs Policies and Procedures Handbook
http://oaa.osu.edu/OAAP_PHandbook.php. A conflict of interest exists if financial interests or other opportunities for tangible personal benefit may exert a substantial and improper influence upon a faculty member or administrator's professional judgment in exercising any University duty or responsibility, including designing, conducting or reporting research.

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

16. GRIEVANCE PROCEDURES

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

17. SALARY GRIVANCES

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the chair. The faculty or staff member should provide documentation to support the complaint.

Faculty members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter may be eligible to file a more formal salary appeal

http://oaa.osu.edu/OAAP_PHandbook.php.

Staff members who are not satisfied with the outcome of the discussion with the chair and wish to pursue the matter should contact Consulting Services <http://hr.osu.edu/dir/Directory.htm#Consult> in the Office of Human Resources.

18. FACULTY MISCONDUCT

Faculty misconduct/incompetence: Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04

<http://trustees.osu.edu/rules5/ru5-04.html>.

19. FACULTY PROMOTION AND TENURE APPEALS

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05

<http://trustees.osu.edu/rules5/ru5-05.html>.

20. SEXUAL HARRASSMENT

The University's policy and procedures related to sexual harassment are set forth in OHR Policy 1.15

<http://hr.osu.edu/policy/policy115.pdf> .

21. STUDENT COMPLAINTS

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about courses and instructors to the department chair, the chair will first ascertain whether the students require confidentiality or not. If confidentiality is not required, the chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the chair will explain that it is not possible to fully

investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not.

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

The Code of Student Conduct is Faculty Rule 3335-23
<http://trustees.osu.edu/Rules 23/index.html>.