

# **PATTERN OF ADMINISTRATION**

## **DEPARTMENT OF MICROBIAL INFECTION AND IMMUNITY COLLEGE OF MEDICINE**

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**Pattern of Administration  
Department of Microbial Infection and Immunity**

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## I Introduction

This document provides a brief description of the Department of Microbial Infection and Immunity (MI&I) in the College of Medicine (COM), as well as a description of its policies and procedures. It supplements the University [Faculty Rules](#) and other policies and procedures of the university to which the Department and its faculty are subject. The latter rules, policies and procedures, and changes in them, take precedence over statements in this document.

This Pattern of Administration is subject to continuing revision. It must be reviewed and either revised or reaffirmed on appointment or reappointment of the Department Chair. However, revisions may be made at any time as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the college office and the Office of Academic Affairs.

## II Department Mission

The research mission of the Department of Microbial Infection and Immunity is to foster a creative, interdisciplinary environment for investigation of fundamental questions in microbial pathogenesis and immunology, ultimately translating new knowledge into practical therapies that benefit society. Faculty will be responsible for the funding of their research programs through grant support, patent royalties, or other mechanisms, and will disseminate knowledge acquired from their research through timely publication and other scholarly endeavors. We will provide outstanding collaborative, educational opportunities in the areas of infectious diseases, immunology, and microbial pathogenesis that improve human health globally. Our research goals are to:

1. Lead interdisciplinary programs that promote the development of top-tier researchers, whose findings fundamentally advance our knowledge of host-pathogen relationships and broadly impact human health.
2. Develop and use cutting-edge infectious disease and immunology model systems to accelerate discovery of diagnostic tools, therapeutics, and vaccines that can be translated into improved personalized patient care.
3. Maintain a diverse, collaborative, and respectful training environment with strong mentorship that fosters intellectual creativity and instills the next generation of scientists with a passion to perform cutting-edge research in microbial infection and immunity.
4. To train graduate, post-graduate, professional, and undergraduate students in the conduct and methodology of research in microbial infection and immunity; and to provide service for the general benefit of the life sciences community within the COM and The Ohio State University, as well as at the local, state and national levels.
5. Be international leaders in microbiology and immunology research.

The educational mission of the Department is to strive for excellence in the didactic teaching of basic and applied aspects of microbial infection and immunity to graduate and professional students. The graduate education mission encompasses research training of Masters and Ph.D. students; i.e., providing experienced mentors, state-of-the-art laboratory facilities and curricula to prepare students for careers in contemporary microbial pathogenesis, immunology, and other related fields. The Department provides education and training for medical and graduate students in interdisciplinary programs, including the Ohio State Biochemistry Program (OSBP), the Biomedical Sciences Graduate Program (BSGP), the Medical Scientist Training Program (MSTP), the Neuroscience Graduate Program (NGP), the Molecular, Cellular and Developmental Biology Graduate Program (MCDB), the Graduate Program in Comparative and Veterinary Medicine (CVM), and the Biophysics Graduate Program.

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The service mission of the Department is to disseminate knowledge and provide administrative contributions to the biomedical community at OSU and to the citizens of Ohio. Professional service also involves contributions to national agencies in the areas of grant reviewing, journal reviewing, and service to professional societies. Administrative service involves active faculty participation in the governance of the Department, College and/or University.

### III Academic Rights and Responsibilities

In April 2006, the university issued a [reaffirmation](#) of academic rights, responsibilities, and processes for addressing concerns.

### IV Faculty

Faculty Rule [3335-5-19](#) defines the types of faculty appointments possible at The Ohio State University and the rights and restrictions associated with each type of appointment. For purposes of governance, the faculty of this Department includes tenure-track, clinical, and research faculty with compensated FTEs of at least 50% in the Department.

The Department makes clinical faculty appointments. Clinical faculty titles are Assistant Professor-Clinical, Associate Professor-Clinical, and Professor-Clinical. The appointment cap on clinical faculty in relation to the total number of tenure-track, clinical, and research faculty is no more than 25%. On 11/13/2019, the Department faculty voted to extend governance rights to clinical faculty with compensated FTEs of at least 50% in the Department, who may vote on all matters of Department governance except tenure-track appointment, promotion and tenure decisions and research appointment and promotion decisions (see Faculty Rule [3335-7-11](#)). Any clinical faculty member appointed by the Department may stand for election to serve as a representative in the University Senate subject to representation restrictions noted in Faculty Rule [3335-7-11\(C\)\(2\)](#).

The Department makes research faculty appointments with titles of Research Assistant Professor, Research Associate Professor, and Research Professor. Research faculty can comprise no more than 25% of the tenure-track faculty. On 11/13/2019, the Department faculty voted to extend governance rights to research faculty with compensated FTEs of at least 50% in the Department, who may vote in all matters of Department governance except tenure-track appointment, promotion and tenure decisions and clinical appointment and promotion decisions.

Associated, Emeritus and Courtesy faculty in this Department are invited to participate in discussions on non-personnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter.

Detailed information about the appointment criteria and procedures for the various types of faculty appointments made in this Department is provided in the [Appointments, Promotion and Tenure \(APT\) Document](#), as well as the Guidelines for Courtesy Appointments (see Appendix I).

### V Organization of Department Services and Staff

Administrative staff of MI&I at the current time shall consist of a Department Administrator, two Office Administrative Associates, and a Director of Research Operations. Administrative services are under the direction of the Chair with day-to-day management by the Administrator. Services available or provided to the faculty include personnel management, purchasing of equipment, travel and reimbursement initiation, preparation of reports (e.g. annual reports, promotion and tenure dossiers), equipment repair, laboratory setup or remodeling, computer assistance, and assistance with grant proposals. COM/OHS

Service Centers provide HR, fiscal and grant support including travel and reimbursement approvals, pre- and post-award grant management, and personnel actions that include processing such as appointments, payroll, and benefits.

### **VI Overview of Department Administration and Decision-Making**

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

### **VII Department Administration**

#### **A Chair**

The primary responsibilities of the Chair are set forth in Faculty Rule [3335-3-35](#). This rule requires the Chair to develop, in consultation with the faculty, a Pattern of Administration with specified minimum content. The rule, along with Faculty Rule [3335-6](#), also requires the Chair to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to appointments, promotion and tenure (APT document).

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 COM Dean, and to efficiently conduct the business of the Department. This broad responsibility includes the acquisition and management of funds and the hiring and supervision of faculty and staff.
- To plan a progressive program with MI&I faculty members and the COM Dean that enhances research, educational, and service missions.
- To evaluate and improve instructional and administrative processes on an ongoing basis with input from the director of graduate and post-graduate education; to promote improvement of instruction by providing for the evaluation of each course when offered, including written evaluation of the course and instructors by students, and periodic course and instructor review by faculty.
- To evaluate faculty members annually in accordance with criteria established by both the University and the Department; 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 COM Dean, in accordance with procedures set forth in Faculty Rule [3335-6](#) and this Department's Appointments, Promotion and Tenure Document.
- To see that all faculty members, regardless of their assigned location, are offered Departmental privileges and responsibilities appropriate to their rank; and, in general, to lead in maintaining a high level of morale.
- To maintain a curriculum vitae for all personnel teaching a course in the Department's curriculum.
- To see that adequate supervision and training are given to those members of the faculty and staff who may profit by such assistance.
- To encourage health and wellness for all Department members; in collaboration with HR, to provide information for health and wellness resources available at Ohio State.

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- To assign research, office, and administrative space in accordance with COM and Departmental policy, with the aim of facilitating high-quality research.

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

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

### **B Other Administrators**

The Chair may appoint up to two Vice Chairs to assist with administration, faculty development, educational initiatives, decision-making, and recruitment. A Vice Chair also will be selected by the Chair to serve as acting Chair when the Chair is unavailable. Vice Chair is an administrative appointment by the Chair, which has a three-year term.

### **C 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 Appointments, Promotion, and Tenure Committee.

#### **Appointments, Promotion, and Tenure (APT) Committee**

Goal: This committee is responsible for managing matters pertaining to the appointment, promotion, and tenure of faculty members. The Chair may ask for committee input in any other matter deemed appropriate, including evaluation of faculty for appointment to Emeritus status.

Structure: The committee shall be composed of all eligible MI&I faculty as dictated by the Department's Appointments, Promotion and Tenure document for each type of review and rank. The Department Chair will appoint an APT Committee Chair for a three-year term, and will approve the APT Committee's choice of a Procedures Oversight Designee (POD), who will serve a two-year, renewable term.

Duties: The duties of the APT Committee include:

- Review and prepare a recommendation of dossier materials for promotion and tenure. Committee members are responsible for assisting the candidates in preparing their dossiers, providing input into external evaluators, and presenting the cases, pro and con, to the body of eligible faculty, whose vote will be forwarded to the Chair and College APT Committee. Serve in a screening capacity for faculty who request a non-mandatory review to determine whether their accomplishments warrant such a review.
- Advise the Chair on new appointments (regular faculty and requests for auxiliary, adjunct, and courtesy appointments).

A complete description of this committee's responsibilities is located in the Department's [Appointments, Promotion and Tenure Document](#).

#### **Education and Curriculum Committee (ECC)**

Goal: This committee provides advice and information to the Department Chair, the Director of Graduate & Post-graduate Education (DGPE), and the Department on issues related to graduate, medical, post-

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graduate, and undergraduate education. Decisions on the implementation of new courses or programs, discontinuance of current offerings, methods of teaching evaluation, and Departmental interactions with graduate programs, undergraduate programs, and medical education programs are discussed here prior to full faculty votes (as applicable).

Structure: A minimum of three faculty members, including the Biomedical Sciences Graduate Program (BSGP) Graduate Studies Committee representative(s), one post-doctoral trainee, and one graduate student will be appointed by the Department Chair for three-year terms. The DGPE will serve as Chair of this committee.

Duties: The duties of the ECC include:

- Review courses and programs currently offered.
- Determine need for addition or removal of courses and escalate to full faculty vote.
- Facilitate coordination of the curriculum for the BSGP graduate program.
- Review feedback from students and instructors.
- Coordinate peer reviews of teaching.
- Keep faculty, students, and postdoctoral trainees updated on awards for teaching and trainee research.
- Meet semi-annually with officers from the MI&I Graduate and Postdoctoral Associations (MIIGSS and MIIPDA) to discuss issues arising and proposals for improvements to our educational mission.

### **Executive Committee**

Goal: This committee meets periodically to discuss major Department, College or University initiatives.

Structure: This committee is composed of up to five faculty, who will be appointed by the Department Chair for three-year terms, as well as the Department Chair who also chairs the committee; Vice-Chair(s); Department Administrator; and Director of Research Operations.

Duties: The committee advises the Department Chair on all matters, including new initiatives, major equipment requests, strategic planning, and other major expenditures. In addition, the committee will administer reviews of applications for departmental research award programs.

### **Faculty Development Steering Committee (FDSC)**

Goal: This committee will design and advise the Department Chair on programs for career development of faculty at all levels.

Structure: The Department Chair will appoint five faculty members for three-year terms. A Department Vice Chair will be selected to serve as Chair of the FDSC.

Duties: The duties of the FDSC include:

- Meeting at least once per semester to discuss faculty development initiatives with the Chair.
- Update annually MI&I faculty onboarding materials.
- Implement and continuously improve the Faculty-Mentoring Program (see Appendix II).
- Assure that all Assistant and Research Track Faculty participate in the Faculty Mentoring Program, and that reports from each meeting of mentoring committees are communicated with the aid of administrative staff to the Chair, Vice Chair(s), and Chair of the APT Committee.
- Keep abreast and inform MI&I faculty of career development opportunities and select, when necessary, faculty members to participate in these activities.
- Work with administrative staff to ensure that all faculty participate in the MI&I Work-In-Progress series.
- With the assistance of the Department Chair and Department Administrator, identify University, regional, national and international award programs for Department faculty, staff and trainees. The committee will identify nominees and also request recommendations from faculty, staff and trainees.
- Stay informed of research, teaching, and service accomplishments of faculty, staff, trainees, and students via the media sources employed by the Department Communication Plan.
- Prepare nomination materials.
- Publicize award recipients using the Department Communication Plan.

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### **Networking, Health, and Wellness Committee (NHWC)**

Goal: This committee promotes a supportive work environment by providing recommendations that improve the wellness and enhance the work-life balance for faculty, staff, and students; with the end goal of increasing the morale of the Department. This includes promoting health related activities and planning team building activities and social events.

Structure: The Department Chair will appoint three faculty members and two trainees (Presidents of MIIGSS and the MIIPDA), who will serve three-year terms. An Office Administrative Associate will be a permanent member of this committee, serving as an administrative and informational resource. Ad-hoc committees will be formed for specific events and will include representation from students and staff.

Duties: The duties of the NHWC include:

- **Health and Wellness:** The committee will serve as a forum for faculty, staff, and students to voice concerns or provide ideas on work-life balance and provide feedback on these issues to the Department. The committee members will actively encourage members of the Department to share work-life conflicts and identify or provide support. The committee will also promote health-related activities [e.g. Your Plan for Health (YP4H), Department sporting events].
- **Networking and team building:** The committee will review and organize social activities (e.g. picnic, holiday party, and faculty social activities) including friendly competitions between labs and community outreach.

### **Seminar Committee**

Goal: This committee plans and coordinates the Department seminars that align with the mission and goals of the Department and encourage collaboration.

Structure: Up to eight faculty members will be appointed by the Department Chair for three-year terms. The Department Chair and an Office Administrative Associate, appointed by the Department Chair, will be permanent members of this committee. The Office Administrative Associate will serve as an administrative and informational resource to the committee. The Department Chair will select a chair for this committee. Ad-hoc committees will be formed for specific seminar series and will include representation from students and staff.

Duties: The committee will provide guidance on the structure and format of each seminar series and the training level of speakers involved. Duties include soliciting for seminar speakers internally and externally, and overseeing the setup and implementation of the events including. The committee will also: (i) ensure the participation of guest speakers and trainees in the Department's Women in Science Breakfast Series (WSBS), (ii) work with external units to encourage joint seminars (as applicable), and (iii) look for ways to co-sponsor events when appropriate.

### **Space and Resources Committee (SRC)**

Goal: This committee is responsible for ensuring efficient use of MI&I space and compliance with COM guidelines, as well as acting as a resource for maintaining a cutting-edge infrastructure of instrumentation.

Structure: The committee shall be composed of up to six faculty members, appointed by the Department Chair for three-year terms, as well as the Department Chair, Department Administrator, and Director of Research Operations. The Department Chair will chair this committee.

Duties: The duties of the SRC include:

- Review space usage on an annual basis, ensuring that MI&I is compliant with COM space guidelines.
- Advise the Chair on space allocation.
- Advise the Chair on instrumentation and technical infrastructure in the context of the greater OSU committee. Inform the Chair about new advances or shortfalls in our departmental infrastructure, especially with regard to imaging, flow cytometry, -omics, and informatics.

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### **COM Faculty Council**

One faculty member and one alternate faculty member will be elected by the faculty members of the Department to serve a three-year term. The representative reports to the faculty at regular departmental faculty meetings.

### **Biomedical Science Graduate Program (BSGP) Graduate Studies Committee**

Two faculty members will be appointed by the Chair for a three-year term on this committee.

### **Other Committees**

Other committees may be formed by the Department Chair on an ad hoc basis. Examples include the faculty search committees associated with new hires, special circumstances regarding space assignments, or a grievance committee.

### **VIII Faculty Meetings**

The Chair will provide to the faculty a schedule of Department faculty meetings at the beginning of each academic term. The schedule will provide for at least two meetings per semester and normally will provide for monthly meetings. A call for agenda items and completed agenda will be delivered to faculty by e-mail before a scheduled meeting. Reasonable efforts will be made to 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.

Special policies pertain to voting on personnel matters, and these are set forth in the Department's [Appointments, Promotion and Tenure Document](#).

For purposes of discussing Department business other than personnel matters, and for making decisions where consensus is possible and a reasonable basis for action, a quorum will be defined as a simple majority of all faculty members eligible to vote.

Either the Chair or one-third of all faculty members eligible to vote may determine that a formal vote conducted by written or anonymous electronic ballot is necessary on matters of special importance. For purposes of a formal vote, a matter will be considered decided when a particular position is supported by at least a majority of all faculty members eligible to vote. Balloting will be conducted by anonymous electronic ballots when necessary to assure maximum participation in voting. When conducting a ballot electronically, faculty members will be given at least three business days to respond.

When a matter must be decided and a simple majority of all faculty members eligible to vote cannot be achieved on behalf of any position, the Chair will necessarily make the final decision.

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

### IX Distribution of Faculty Duties and Responsibilities

The Office of Academic Affairs requires Departments to have guidelines on the distribution of faculty duties and responsibilities (see the OAA [Policies and Procedures Handbook](#), Volume 1, Chapter 2, Section 1.4.3). The information provided below supplements these guidelines.

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

The University's overall policy on teaching workload is available in the [OAA Policies and Procedures Handbook](#), Volume 1, Chapter 2, Section 1.4.3.1.1. The Department of Microbial Infection and Immunity, in the College of Medicine, has teaching responsibilities in graduate and professional education, as well as undergraduate courses. However, there are currently no departmental-based degree programs.

The mission of the Department involves instructional, scholarly, and service activities. Reasonable guidelines and expectations for these responsibilities are outlined in the [Appointments, Promotion and Tenure Document](#). Given the individual circumstances of our faculty, the proportion of time devoted to each of these areas will vary. It is the responsibility of the Chair, in consultation with each faculty member, to assign individual workloads to assure that the mission of the Department is fulfilled. This process will take place as a part of the annual faculty review meeting.

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 Department head in order to ensure that no conflict of commitment exists. Information on faculty conflicts of commitment is presented in the OAA Policy on [Faculty Conflict of Commitment](#).

**Instructional activity** in the Department includes undergraduate, graduate, professional (medical), post-graduate professional (post-MD), and post-doctoral (post-PhD) student education. Courses taught by the faculty include: 1) individual instruction (e.g. student advising, guiding student research, individual study); and 2) formal lecture and laboratory courses. These courses are taught by either individual instructors or by a faculty team. Instructional activities also include creating, developing, and revising instructional materials.

**Scholarly activity** includes producing publications (e.g. articles in peer-reviewed journals, books, monographs, electronic media), grant applications, carrying out work supported by funded grants, presenting at professional meetings and/or symposia, selection as editor or reviewer for peer-reviewed journals and books, or for external grant review, and selection into honor societies. Faculty members are expected to be involved in sponsored research as a principal or a co-investigator and to publish annually in peer-reviewed journals.

**Service activity** includes administrative work (e.g. for Department, College, University), service to the profession (e.g. reviewing grants and manuscripts, serving as an officer for a professional organization) and service to the community (e.g. local, state, national or international). Service activity also includes heading teaching units and directing shared research facilities. Faculty members are expected to participate in both Department and College governance. All faculty members are expected to attend and participate in faculty meetings, recruitment activities, and other Department events.

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For additional information about the responsibilities of departmental faculty by category (tenure-track, clinical, research and associated faculty), please see Article IV of the Microbial Infection and Immunity [Appointments, Promotion, and Tenure document](#).

Deviation from the average workload in any one of these three activities (instructional, scholarly, and service) shall be balanced through appropriate adjustments in the other areas. Examples: Faculty members who are especially active in research can be assigned an enhanced research status that includes a reduced teaching assignment. Likewise, faculty members who are relatively inactive in research can be assigned an enhanced teaching status that includes an increased teaching assignment. Similarly, faculty members who are engaged in extraordinary service activities (to the Department, College, University, and in special circumstances, professional organizations within the discipline) can be assigned an enhanced service assignment that includes a reduced teaching assignment. These adjustments will be made by the Chair in consultation with the individual faculty. Fluctuations in demands and resources in the Department and the individual circumstances of faculty members may warrant temporary deviations of assigned workloads.

### **A Special Assignments**

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

Untenured faculty will normally be provided a SA for research during their probationary period. Reasonable efforts will be made to award SA opportunities to all productive faculty members on a rotating basis 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. At the discretion of the Chair, the Department's APT Committee will evaluate SA proposals and make recommendations. 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.

### **B Parental Modification of Duties**

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

The faculty member requesting the modification of duties for childbirth/adoption and the Department Chair should be creative and flexible in developing a solution that is fair to both the individual and the unit while addressing the needs of the university.

### **X Course Offerings and Teaching Schedule**

The Director of Graduate & Post-graduate Education (DGPE) 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 and in formats, including on-line instruction, most likely to meet student needs. To assure classroom availability, reasonable efforts must be made to distribute course offerings across the day and week. To meet student needs, reasonable efforts must be made to assure that course offerings match student demand and that timing conflicts with other

courses students are known to take in tandem are avoided. A scheduled course that does not attract the minimum number of students required by Faculty Rule [3335-8-16](#) will normally be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent semester.

### **XI Allocation of Department Resources**

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 aspects of the Department budget 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 and in accordance with COM guidelines.

The allocation of office space will include considerations such as productivity, seniority, and proximity of faculty in sub disciplines.

The allocation of salary funds is discussed in the [Appointments, Promotion and Tenure Document](#).

### **XII Appointments to Sponsored Projects**

The College of Medicine requires that faculty members include a request for salary funds in all grant proposals to agencies that accept charges for salary as an allowable cost. The percent of salary requested should accurately reflect effort on a research project and align with COM policies for salary recovery.

### **XIII Leaves and Absences**

The university's policies and procedures with respect to leaves and absences are set forth in the Office of Academic Affairs [Policies and Procedures Handbook](#) and Office of Human Resources [Policies and Forms](#) website. The information provided below supplements these policies.

#### **A Discretionary Absence**

Faculty are expected to complete a travel request or an [Application for Leave](#) form at least one week in advance of a planned absence to provide time for its consideration and approval and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the Chair retains the authority to disapprove a proposed absence when it will interfere with instructional or other comparable commitments. Such an occurrence is most likely when the number of absences in a particular semester is substantial. [University Faculty Rules](#) require that the Office of Academic Affairs approve any discretionary absence longer than 10 continuous business days (See Faculty Rule [3335-5-08](#)) and must be requested on the [Application for Leave](#) form.

### **B Absence for Medical Reasons**

When absences for medical reasons are anticipated, faculty members are expected to complete an [Application for Leave](#) form as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the Chair know promptly so that instructional and other commitments can be managed. Faculty members are always expected to use sick leave for any absence covered by sick leave (personal illness, illness of family members, medical appointments). Sick leave is a benefit to be used—not banked. For additional details see OHR [Policy 6.27](#).

### **C Unpaid Leaves of Absence**

The university's policies with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in OHR [Policy 6.45](#).

### **D Faculty Professional Leave (FPL)**

Information on faculty professional leaves is presented in the OAA [Policy on Faculty Professional Leave](#).

The Department's APT Committee will review all requests for faculty professional leave and make a recommendation to the Department Chair. The Chair's recommendation to the Dean regarding an FPL proposal will be based on the quality of the proposal and its potential benefit to the Department and to the faculty member as well as the ability of the Department to accommodate the leave at the time requested.

## **XIV Supplemental Compensation and Paid External Consulting**

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

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 supplemental 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.

Faculty with an administrative position (for example, Chair, Associate/Assistant Dean, Center Director) remain subject to the Policy on [Faculty Paid External Consulting](#) and with appropriate approval, are permitted to engage in paid external work activities. However, faculty members with administrative positions are not permitted to accept compensation/honoraria for services that relate to or are the result of their administrative duties and responsibilities.

Should a Department faculty member wish to use a textbook or other material that is authored by the faculty member and the sale of which results in a royalty being paid to him or her, such textbook or

material may be required for a course by the faculty member only if (1) the faculty member's Department Chair and Dean or designee have approved the use of the textbook or material for the course taught by the faculty member, or (2) an appropriate committee of the Department of College reviews and approves the use of the textbook or material for use in the course taught by the faculty member.

### **XV Financial Conflicts of Interest**

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

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

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

### **XVI Grievance Procedures**

Members of the Department with grievances should discuss them with the Chair who will review the matter as appropriate and either seek resolution (including the development of a grievance committee as needed) or explain why resolution is not possible. Content below describes procedures for the review of specific types of complaints and grievances.

#### **A Salary Grievances**

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

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 formal salary appeal (see the Office of Academic Affairs [Policies and Procedures Handbook](#)).

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

#### **B Faculty Misconduct**

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

### **C Faculty Promotion and Tenure Appeals**

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

### **D Sexual Misconduct**

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

### **E Student complaints**

Normally student complaints about courses, grades, and related matters are brought to the attention of individual faculty members. In receiving such complaints, faculty should treat students with respect regardless of the apparent merit of the complaint and provide a considered response. When students bring complaints about courses and instructors to the Department Chair, the Chair will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the Chair will investigate the matter as fully and fairly as possible and provide a response to both the students and any affected faculty. If confidentiality is required, the Chair will explain that it is not possible to fully investigate a complaint in such circumstances and will advise the student(s) on options to pursue without prejudice as to whether the complaint is valid or not. See Faculty Rule [3335-8-23](#).

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 \(COAM\)](#). See also Faculty Rule [3335-23-05](#).

### **F Code of Student Conduct**

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

### **Appendix I Guidelines for Courtesy Appointments**

A non-salary joint appointment for a University faculty member from another department is considered a Courtesy appointment. An individual with an appointment in any OSU department may request a Courtesy appointment in Microbial Infection and Immunity when that faculty member's scholarly and academic activity overlaps significantly with the disciplines of Microbial Infection and Immunity. Such appointments must be made in the same faculty category, using the same title, as that offered in the primary department. Courtesy appointments are considered an asset by the Department and will represent a mutually beneficial relationship to the faculty member and to the Department. Courtesy appointees are expected to participate in Departmental teaching, research and/or service missions. Appointees will be expected to attend and participate on faculty and student committees as well as Departmental seminars and symposia. These appointees are encouraged to attend at least 50% of the yearly faculty meetings, enter freely into discussions and are eligible to vote on all issues except those pertaining to Departmental governance (e.g. Patterns of Administration) and Promotion and Tenure.

A letter of request from the faculty member to the MI&I APT Committee Chair shall initiate the process for appointment of Courtesy faculty. Letters of request should include: (1) reasons for the request, (2) a statement of potential benefits of the appointment for both the faculty member and the Department of Microbial Infection and Immunity, (3) documentation of previous contributions to and associations with members of the Department of Microbial Infection and Immunity, and (4) any additional information of relevance. Requests for Courtesy appointments must also include a current curriculum vitae and a memo of concurrence from the candidate's TIU Chair. The basis for review shall include: (1) the training and background of the applicant relative to the disciplines of Microbial Infection and Immunity, (2) the compatibility of the applicant's research interests with the overall departmental mission, and (3) the capacity and willingness of the applicant to contribute to the teaching, research and/or service missions of the Department. The requests shall be presented to the faculty by the APT Committee Chair at a regular faculty meeting. Acceptance of the appointee will be determined by a majority vote.

Courtesy appointments shall be awarded for a period of three years. The APT Committee Chair shall notify appointees by letter of the approaching renewal date and inquire about interest in renewal of the appointment. Consideration for renewal shall require: (1) a letter from the appointee stating interest in reappointment and the perceived benefits of reappointment, (2) concurrence from the Chair of the appointee's primary TIU, and (3) a current curriculum vitae. The renewal requests shall be placed on the agenda of a regular faculty meeting and be presented to the faculty by the APT Committee Chair. Acceptance of the renewal of appointment will be determined by a majority vote. If not renewed, the appointment shall terminate automatically at the end of the appointment period.

## Appendix II Faculty Mentoring Program

### I. Overview

The Department of Microbial Infection and Immunity (MI&I) initiated this program to provide in-depth, structured mentoring for faculty at all levels but with particular attention to junior faculty. In addition to regular evaluations by leadership, faculty will benefit from a community-based mentoring approach, especially given the many career paths leading to success in our diverse Department. The overall goal of this structured program is to provide junior faculty or those participating at advanced ranks with a committee of mentors, which is tailored to career needs. The aim of the mentoring committee is to provide faculty with clear, objective advice and facilitate networking and faculty development opportunities to build their successful academic career and to most effectively progress towards promotion. The mentoring committee should be alert to opportunities to nominate the mentee for appropriate awards, committee memberships, etc. and will serve as ongoing “sponsors” for the mentee. **The committees are meant to be advisory, rather than evaluative,** and are not meant to substitute for annual reviews by the Departmental Chair. Instead, the committees are meant to augment this process by providing independent input and by serving as advocates and advisors for the mentee and facilitating career development. **Committees should avoid evaluative commentary, such as assessments of progress toward promotion or tenure.**

### II. Mentoring for New Faculty

All new junior faculty will be assigned a temporary mentor in their offer letter, who will provide them with guidance to navigate the Medical Center for their first 4-6 months in MI&I. The temporary mentor will be a mid-career or senior faculty member with an outstanding track record of developing junior faculty. The temporary mentor will serve as an information source and advisor for the new faculty on nearly any aspect of life in the Department, College of Medicine, or OSU. Temporary mentors should not hesitate to refer new faculty to the OSU Office of Academic Affairs or the College of Medicine Faculty Advancement, Mentoring, and Engagement (FAME) program for additional resources or to our Faculty Development Steering Committee (FDSC).

### III. Mentoring Committees

**A. Junior Faculty.** After 4-6 months, each new junior faculty member will be contacted by the FDSC to nominate members for their mentoring committee. New and current junior faculty should discuss potential nominees with MI&I leadership, their temporary mentor(s), and members of the FDSC, as needed. Nominations will be vetted and approved by the FDSC. We ask that junior faculty incorporate the criteria below when selecting a well-rounded mentoring committee (we recognize that some members of the committee will fulfill at least two of these criteria).

**B. Mid-career Faculty.** The Faculty Mentoring Program is available to mid-career faculty as well. Faculty should discuss potential nominees with MI&I leadership and members of the FDSC, as needed. Nominations will be vetted and approved by the FDSC. Mid-career faculty should also incorporate the below criteria when selecting a well-rounded mentoring committee (we recognize that some members of the committee will fulfill at least two of these criteria).

1. Typically, three but no more than five faculty members at the associate professor or professor levels.
2. At least one member should be faculty in another OSU Department. The mentee is also free to select one faculty member from another institution who could participate in meetings via video conference.
3. Ideally, the committee will be tailored to the mentee’s research, clinical, service, and educational career objectives.
4. Research faculty mentees can choose whether to include a faculty member considered to be their direct “supervisor” (e.g., lab PI).
5. In general, the committee should not include the Departmental Chair.

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6. Junior faculty member may wish to have someone on their committee with whom they simply feel comfortable and whose advice they trust, even if that person does not fit into any of the above categories.
7. The mentee will select one committee member from OSU to serve as the Chair. He/she should be selected as a primary advisor/confidante/advocate.
8. Composition of the committee can evolve with the mentee's career objectives and can be revised, with input from the FDSC, based on the quality of a member's contributions or if a member chooses to resign from the committee.

Once a committee is approved, the MI&I Chair will send an invitation letter to all nominees.

### IV. Committee Meetings

Upon roster finalization, the FDSC will schedule meetings with the mentee and committee members, which will take place every nine to twelve months. At least one week prior to the meeting, the mentee should provide the Vice-Chair of Faculty Development and all committee members with an updated CV and a one-page bulleted document, which will serve as a template for discussion. The document should list accomplishments, plans for the next nine months and, perhaps most importantly, what challenges are being encountered (see attached template). The document should also contain any questions or concerns that the mentee may have regarding career advancement.

Following each meeting, the FDSC will remind the mentoring committee Chair to provide a brief synopsis of discussions and advice, which **should not be evaluative in nature**. The report will be shared with the Vice-Chair of Faculty Development and the MI&I Chair, as it will focus more productive discussions during the mentee's annual evaluation.

Although the mentee will have formal committee meetings at regular intervals, it is hoped that there will be additional and ongoing interactions between the mentee and mentorship committee.

Questions about any aspects of the structured mentoring program can be forwarded to the Vice-Chair of Faculty Development.

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### **Annual Mentoring Committee Meeting Update Form**

(Please distribute to mentoring committee members at least one week prior to meeting. Please include an updated CV with this form)

- What part of your profession/position gives you the most satisfaction?
  
- Which accomplishments from the past year are you most proud of?
  
- What were your challenges this past year (frustrations or issues impacting your ability to accomplish goals)?
  
- What things went well this past year?
  
- What would you like to accomplish (start, finish) this upcoming year?
  
- In what areas would you like specific advice and guidance?
  
- Please provide an update on progress of research and personnel.