PATTERN OF ADMINISTRATION SCHOOL OF EARTH SCIENCES

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PATTERN OF ADMINISTRATION SCHOOL OF THE EARTH SCIENCES

I. Introduction

This document provides a brief description of the School of Earth Sciences (SES) as well as a description of its policies and procedures. It supplements the Rules of the University Faculty (http://trustees.osu.edu/university/facultyrules), the College of Arts and Sciences Pattern of Administration (https://oaa.osu.edu/governance.html) and other policies and procedures of the university to which the School and its faculty are subject (https://oaa.osu.edu/policiesprocedureshandbook.html). 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 School director. However, revisions may be made at any time as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the Office of the Executive Dean of the College of Arts and Sciences (ASC) and the Office of Academic Affairs (OAA).

II. School Mission

The School aims to be a globally preeminent program in Earth Sciences at the forefront of knowledge creation and dissemination, education, and training focused on humanity's greatest problems.

Our mission is to:

- To advance our understanding of Earth as a dynamic and complex system, its past and present evolution, and its resources and vulnerabilities
- To assess human impact on the Earth system, and the implications of global change for the biosphere, society, and regional and global economies.
- To educate the next generation of scientists, researchers, teachers, policy makers, entrepreneurs, and environmental professionals.
- To promote a better informed populace within the state of Ohio, our nation, and worldwide.

III. Academic Rights and Freedoms

In April 2006, the university issued a reaffirmation of academic rights, responsibilities, and processes for addressing concerns. This statement can be found on the Office of Academic Affairs website, http://oaa.osu.edu/rightsandresponsibilities.html.

IV. Faculty

Faculty Rule 3335-5-19, http://trustees.osu.edu/university/facultyrules, 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 the School includes faculty for whom the School is their tenure initiating unit (TIU). Associated faculty and tenure track faculty who are joint appointees with TIUs in another department are invited to discuss and vote on all other departmental issues. Lecturers, other associated faculty, and emeritus faculty, in the School may not participate in personnel matters, including promotion and tenure reviews.

The School of Earth Sciences has research faculty. Such research faculty titles will be research assistant professor of Earth Sciences, research associate professor of Earth Sciences, and research professor of Earth Sciences. Research faculty may comprise no more than 20% of the total number of the tenure-track faculty. These research faculty may vote in all matters of School governance except for promotion and tenure decisions.

Detailed information about the appointment criteria and procedures for the types of faculty appointments made in this School is provided in the Appointments, Promotion and Tenure (APT) document.

V. Organization of School Services and Staff

The tenure-track faculty, led by the Director, constitute the governing body of the School. The presumption is that the Director functions as the first among equals and to the fullest extent possible leads the School by consensus. The specific duties and responsibilities of the Director and the faculty are described below. An Administrative Manager assists the Director, Division Chairs, and SES in all aspects of School administration. The principal duties of the Administrative Manager include the following: advises the Director on the preparation of budget requests; documents and analyzes School spending, and faculty grants and contracts; monitors earnings funds; manages all human resources processes pertaining to faculty and staff; advises the Director on the AMCP process for staff; supervises classified civil service staff and administrative and professional staff; assists the Director and Associate Director with the instructional program; works on travel with the Grants Coordinator.

A Grants Coordinator assists faculty and students with the preparation of sponsored research budgets and monitors spending on faculty grants and contracts. The Grants Coordinator also handles all travel requests and payments for the School's faculty, staff, and students.

An Office Associate serves as the Graduate Coordinator for the School. The principal duties of the Office Associate include gathering and organizing graduate student admissions materials; processing all graduate student-related human resources requests including hiring; supervising undergraduate student administrative assistants; assisting the Administrative Manager with promotion and tenure processes; and providing back-up assistance with course scheduling and processing travel.

Student Assistants provide secretarial support to the regular staff and faculty. Their duties include: answering telephones; greeting visitors to the School office; copying materials for faculty and students; processing procurement requests; providing secretarial support for the Director; other administrative duties as needed.

VI. Overview of School Administration and Decision Making

Policy and program decisions are made in a number of ways: by the School faculty as a whole or within divisions of the School; by standing or special committees of the School; or by the Director. The nature and importance of any individual matter determines how it is addressed. School governance proceeds on the general principle that the more important the matter to be decided, the greater the need for inclusive participation in the decision making. Open discussions, both formal and informal, and votes, where appropriate, constitute the primary means of reaching decisions of central importance.

VII. School Administration

The overall structure of the School administration is shown in Figure 1. As described in more detail below, the School is composed of four divisions, with a 'bottom-up' aim towards development and implementation of ideas. The Division Chairs are part of the SES Advisory Committee. The SES Administrative Committee is charged with carrying out College and School related tasks such as scheduling of P&T meetings, staffing

of courses (faculty and grad students), logistics and planning of mentoring/teaching evaluation.

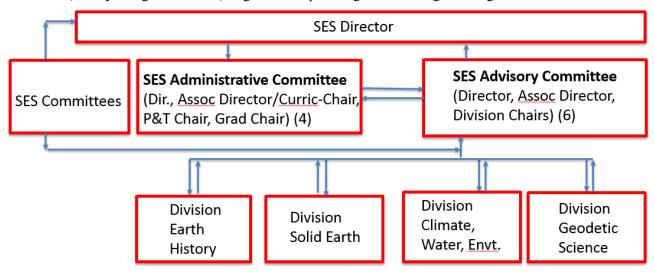


Figure 1: Organizational Chart for SES

A. Director

The primary responsibilities of the Director are set forth in Faculty Rule 3335-3-35, http://trustees.osu.edu/university/facultyrules. This rule requires the Director 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/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html also requires the Director to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to appointments, reappointments, promotion and tenure (the Appointments, Promotion, and Tenure document; see https://oaa.osu.edu/policies-and-procedures-handbook).

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

- To have general administrative responsibility for School programs, subject to the approval of the Executive Dean of the College, and to conduct the business of the School efficiently. This broad responsibility includes the acquisition, management and allocation of funds and the ultimate authority in the hiring and supervision of faculty, staff, and sessional employees.
- To assess, review and reallocate space as necessary.
- To plan with the Division Chairs, members of the divisions, and the Executive 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 ensuring 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 School established criteria; to inform faculty members when they receive their annual review of their right to review their primary personnel file maintained by the School 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 School faculty to the executive Dean of the College of Arts and Sciences, in accordance with procedures set forth in Faculty Rule 3335-6, rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html, and this School's Appointments, Promotion and Tenure document.
- To see that all faculty members, regardless of their assigned location, are offered the School 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.

Day to day responsibility for specific matters shall be delegated to other committees or individuals as appropriate and herein delineated, but the Director retains final responsibility and authority for all matters covered by this Pattern, subject, when relevant, to the approval of the Executive Dean (or his or her designee), OAA, and the Board of Trustees.

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

B. School Administrative Faculty

The Associate Director of Administration reports to the Director and is primarily responsible for administering the undergraduate GE teaching program. When necessary, the Associate Director of Administration or one of the Division Chairs can be selected to act on behalf of the Director. Also, the Chairs of the Graduate and Undergraduate Studies Committees and of the Promotion and Tenure Committee will advise the Director in regard to their responsibilities. All of these individuals either volunteer, are elected in the case of Division Chairs, and/or are appointed by the Director. When there is turnover the individual is vetted by the other members of the Advising Committee. As described below, Division Chairs will assist and advise the Director in the administration of the School.

C. Divisions

On July 7, 2006, the OSU Board of Trustees approved the establishment of a School of Earth Sciences composed of Divisions. SES provides formal status for its divisions by assigning them certain academic and administrative responsibilities along with commensurate authority. Faculty (including regional campus faculty) will have a primary affiliation with one of the divisions. Faculty members choose their primary divisional affiliation. Faculty members may choose to associate themselves with an additional division. The purposes of the divisions are (i) to support natural synergies among component sub-disciplines, both in terms of research and education, promoting technical competence within that body of knowledge and activity, and an awareness of how these core techniques and competencies are being applied in trans-disciplinary research agendas. (ii) To promote bottom-up thinking and some degree of self-organization within SES: *e.g.* to generate ideas that enjoy widespread support within a division and have the divisional chair bring them to the SES Director and the Executive Committee, (iii) Divisions can propose new courses, tracks or educational programs or shared facilities to the SES Director, the Executive Committee and the faculty as a whole. (iv) If SES as a whole determines that a graduate program

or an undergraduate major or track is closely associated with the core interests and techniques of a given division, that division should take the lead on ensuring that the associated curriculum is upto-date, as complete as possible, and assess if it has the necessary resources.

The academic disciplines of the School are organized in four named divisions:

Division of Earth History
Division of Geodetic Sciences
Division of Solid Earth Dynamics
Division of Water, Climate, and the Environment

D. Division Chairs:

Division Chairs are elected by the membership of each division every three years. Special elections will be triggered when a Division Chair announces that he or she is stepping down, or when the majority of the membership of a division desires an election. Each Division will develop its own election procedures (see appendix).

The Division Chair's responsibilities include the following

- organize a meeting of the division members once per semester (in the time slot of a full faculty meeting), or more often as circumstances dictate. Additional communications between the chair and the members may occur via email
- serve as a member of the SES Director's Advisory Committee.
- coordinate meetings and/or seminars focused on building individual and shared scientific capacity via awareness of new datasets, mathematical tools, software, analytical systems and/or instrumentation, with some consideration given to resource sharing.
- advise the SES Director on School committee assignments, both standing and *ad hoc*, so to ensure that all division members contribute in some way to the governance of SES.
- advise the Director on extended leave of absence requests, especially in terms of possible impacts on teaching, the ability of students to move through their course requirements, and compatibility with OAA and ASC guidelines for Faculty Professional Leave (FPL).
- formulate with division members the division's priorities for hiring new faculty and staff, and prepare documentation about the need for new faculty in specific areas. Advise the SES Director on the composition of search committees, etc.
- advise the Director on divisional representatives to serve on the SES Evaluation Committee.
- work with division members to establish a policy on voting on divisional business.

See Appendix A for Division Chair election procedures for the Earth History Division and Water, Climate and Environment Division.

E. School Committees

The School shall maintain the following committees: Advisory Committee, Administrative Committee, Committee of the Eligible Faculty (including P&T Chair, POD as described in the School's Appointments, Promotion, and Tenure document), Mentor Subcommittees, Curriculum Committee, Graduate Studies Committee, Space Committee, Faculty Annual Evaluation Committee, Undergraduate Committee, Computer Committee, Diversity Committee, Alumni Committee, Awards

Committee, Field Camp Committee, and Health and Safety Committee. Search committees are appointed, as needed, to conduct reviews of faculty and staff applications and make recommendations on appointments to the School faculty and Director. Other committees will be appointed as needed.

Other administrative assignments may include Building Coordinators, Health and Safety Officer, Bownocker Lecture Chairperson, Geology Club Advisor, Sigma Gamma Epsilon Advisor, Friends of Orton Committee, and Undergraduate Major Student Coordinator/Advisor.

All School committees are advisory to the School Director. The Director shall appoint all School committee chairpersons and committee members for one-year terms or longer, usually commencing in the Autumn Semester. All members of these committees are approved by the Advisory Committee. Committees will ideally have representation from each division, but the size of Divisions may preclude this in some years. Regional campus faculty may be appointed to School standing committees. The Director is an ex-officio member of all School committees.

An Orton Geological Museum Director is appointed from the tenure-track faculty. The Director reports to the School Director, and is responsible for the operation and maintenance of the research and public relations aspects of museum activities.

All committees shall execute their duties following standard parliamentary procedures (Robert's Rules of Order) to the best of their ability with decisions based on majority voting by members.

Advisory Committee –Members of this committee are illustrated in Figure 1, and include the 4 Division Chairs as well as the Director and Associate Director. The scheduling of and agenda for the Advisory Committee meetings is set by an elected Division Chair ('head' of the Advisory Committee), in consultation with both the 4 Division Chairs and their Division members, and the School Director. The Advisory Committee has a 'bottom-up' charge aimed towards development and implementation of ideas from SES faculty constituents.

Administrative Committee: Members of this committee are illustrated in Figure 1, and include the Director, Associate Director, Graduate Committee Chair and P&T Chair. The SES Administrative Committee is charged with administering School, College, and University related tasks such as scheduling of P&T meetings, staffing of courses (faculty and grad students), logistics and planning of mentoring/teaching evaluation.

Committee of the Eligible Faculty –The Committee of Eligible Faculty (CEF) is defined in the Appointments Promotion and Tenure (APT) document, and does not include the Director. The P&T Chair is the chief administrator of the CEF and appointed by the School Director with the advice of the Advisory Committee. The TIU is the School of Earth Sciences. The responsibilities of the CEF are defined in the APT document. The P&T Committee Chair duties are also defined in the APT document and include the following additional duties:

- makes recommendations to the School Director on Mentor assignments annually in summer each year
- ensures the Mentor Policy is implemented as defined in Appendix I of the APT document
- oversees the archiving of all dossier documentation of each candidate in Buckeye Box
- solicits the external letters for Promotion and Tenure cases according to the procedures outlined in the EXTERNAL EVALUATIONS section of the APT document.

Mentor Subcommittees – Two mentors from the Committee of Eligible Faculty will provide advice toward promotion (with tenure for assistant professors) to untenured and associate professors (see Mentor Policy as defined in Appendix I of the APT). Mentors are chosen by the P&T Chair and School Director in consultation with the advisee and relevant faculty. The Mentor Committee may be maintained unchanged from year to year, or substitutions may be made. The responsibilities of the Mentor Committee include an assessment of research productivity and teaching observations that are detailed in a completed Annual Mentor Report Form signed by the mentors and mentee (see Mentor Policy as defined in Appendix I of the APT) and meet annually. If concerns are noted by the mentors, it is recommended that they consult with the advisee on a more frequent basis until such corrective action has been taken.

Curriculum Committee – This committee will consist of up to four faculty representing the breadth of educational and programmatic duties and a chair, who is appointed by the Director; this individual will usually be the Associate Director of Administration. The Division Chairs will provide feedback on committee members. This committee will provide a School perspective, integration, and approval of courses and programs that impact Earth Science and Geodetic Science courses, including ASC concurrence and GE Assessment.

The Chair of the Curriculum Committee is responsible for coordinating new course proposals, facilitating the drafting of documentation for proposed, deleted, or modified courses and programs; for transmittal of these materials and details of degree requirements to the appropriate College Curriculum Committee; for preparation and proof corrections of University Course Offering OAA Approval, and University Bulletin text; and for reporting all curricular matters to the faculty of the School. The Chair of the committee does not vote except to break a tie vote. The Chair of the Curriculum Committee will also serve as the Faculty Curricular Contact for the College of Arts & Sciences. The Chair of the Curriculum Committee will assign a Faculty Assessment Contact for the College of Arts & Sciences.

Graduate Studies Committee - This School committee will consist of four faculty members, one from each division, four student liaisons and a Chair, who is appointed by the Director. The Division Chair, in counsel with the Director, will develop the process for selecting the faculty members on the committee, and develop the process to select student members. A School staff member assists the committee. The Chair of the committee does not vote except to break a tie vote. The student members are non-voting.

The School committee will prepare recruiting materials, process applications from prospective graduate students, consult with relevant faculty on candidate's suitability for recruitment, decide on admission to the program, coordinate offers of financial support, help graduate students (e.g., liaisons) organize the one weekend campus visit for prospective students, oversee teaching assistant class assignments (e.g., GTA or undergraduate assistants), review graduate student thesis/dissertation proposals, award internal fellowships, and nominate students in external fellowship competitions. An important part of the Graduate Studies Committee's duties include the monitoring of progress by all graduate students and adherence to SES and Graduate School regulations. Student progress and reporting thereof will follow procedures established in "Guidelines for Assessing Student Progress." The Committee also oversees the Graduate School Category status of faculty for the School. In executing its duties, the Graduate Studies Committee follows regulations set forth in the Graduate School Handbook. The Committee is responsible for maintaining the "School of Earth Sciences Graduate Program," a handbook specific to SES that provides a detailed account of School objectives, requirements, and regulations for graduate degrees. The Graduate Studies Chair should hold at least one graduate student town hall meeting each academic year. This meeting will be open to SES graduate students and SES Graduate Studies Committee members. The purpose of the town hall meeting is to provide information and/or communicate with graduate students about topics of interest to them. The Graduate Studies Chair and/or School staff members may wish to hold orientations at the beginning of each academic year (e.g., new student orientations or GTA orientations). These orientations may be optional or mandatory to SES graduate students.

Undergraduate Committee – This School committee shall consist of up to four faculty members in addition to as many as two student members. One of the committee members, usually the Chair, will serve as Director of Undergraduate Studies. This committee oversees the selection of undergraduate scholarship/award recipients. The committee conveys constructive suggestions to the Curriculum Committee regarding undergraduate requirements. The members of this committee, especially the Chair, will work closely with the ASC Advisor to coordinate undergraduate major advising and recruitment.

Faculty Annual Evaluation Committee – This School committee shall consist of four faculty members, one from each division, as well as the Director who will chair the committee but is a non-voting member. The Division Chairs will develop the process for selecting the faculty members on the committee from their divisions and provide the names of those selected to the Director. During Spring Semester, the committee (Director only observing) reviews all faculty Annual Activity Reports and curriculum vitae, and advises the Director of their perception of job performance by individual faculty.

Computer Committee – This School committee shall consist of a Chair from the tenure-track faculty, the ASC-designated SES IT staff specialist, the space management coordinator in SES, and interested computer users from the faculty, staff, and if possible an undergraduate student and a graduate student. The Chair will constitute the membership of the committee with final approval by the Director. The committee maintains a rational plan for the acquisition of computer hardware and software, bearing in mind the needs of the various instructional and research programs within the School now and in the future. It also develops strategic plans and budgets for IT infrastructure, including conference space needs.

Health and Safety Committee –The committee is constituted to include faculty and staff involved in the types of School activities for which there may be associate health and safety hazards. The committee and its Chair are appointed by and report to the Director of the School. The role of the Health and Safety Committee is to promote healthful and safe conduct of School activities and compliance with applicable regulations. The Chair of this committee is designated the School Safety Officer. The Health and Safety Committee Chair reports noncompliance problems and other health and safety concerns to the School Director.

Diversity Committee – This committee will consist of two faculty members (one appointed Chair), one staff member, and at least two students. This committee will advise the Chair on all issues related to diversity issues in the School including recruitment, workplace attitudes, etc.

Space Committee - This committee will be chaired by the Director and include at least 3 faculty members as well as 2 staff (Space Management Coordinator, Administrative Manager). As discussed in the section on Allocation of School Resources below, research space shall be allocated on the basis of research productivity and group size (graduate, postdoc numbers), and will be reallocated periodically as these faculty-specific variables change. The allocation of space will include consideration of the best overall use of space to

enhance efficiency, communication, and morale.

Alumni Committee – This committee will focus on Alumni relations in SES, including advising the Director on the 'Orton Award' for a distinguished SES alum. The committee will work with the Director on the SES Alumni and Friends Advisory Board, which shall meet annually on the day of the School Awards Banquet and ideally also during the Fall Football Tailgate weekend. The Chair of the Alumni Committee will maintain the SES monthly News Notes sent out to all SES alums.

Awards Committee - This committee will seek to nominate SES faculty for college, university, national and international awards. At least 2 faculty and 1 staff member will serve on the committee.

Field Camp Committee – This committee will focus on management of field camp, including logistics, number of instructors and TAs necessary to maintain the course in the field. This committee will advise the Director on the use of the Field Camp Endowment Fund, including selection of recipients for scholarships and purchase of equipment. This committee will also advise the Director on best use of the Field Camp Endowment Fund by communication with major donors, and coordinate fundraising for Field Camp Endowment including organization of reunions. This committee also organizes communications to donors by the student recipients (notes of thanks) of scholarships or awards.

Faculty Search Committee – These committees will consist of at least four faculty members, and ideally at least one faculty member from each division. The Director will appoint the chair and seek advice from the Advisory Committee on the other members.

VIII. Faculty Meetings

Faculty meetings will be held on a regular basis at both the School and divisional levels. At a minimum, these meetings will occur bimonthly on an alternating basis, providing one regularly scheduled meeting per month of either the School or the divisional faculty. Meeting dates and times are to be announced at the beginning of each semester, and the agenda for each meeting will be circulated before the meetings. Other School or divisional meetings will be scheduled on an as-needed basis to accommodate administrative needs.

Normally, faculty members will be informed of meetings through email several days in advance of the proposed meetings. For regularly scheduled meetings, this notification will serve as a reminder and a meeting agenda will be provided at this time. Regional campus faculty are strongly encouraged to participate in person or by telephone. All faculty who are not on an approved leave of absence or travel are expected to attend faculty meetings. Those faculty members who are unable to attend the upcoming meeting should provide notice to the Director, the Administrative Manager, or Division Chair through email. Minutes and an agenda will be circulated to regular faculty in advance of the meeting.

The School 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 School 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 followed when more formality is needed to serve these goals.

A quorum for the conduct of business in School and division faculty meetings and standing committee

meetings shall be 60% of all faculty, excluding those who are away from campus because of Faculty Professional Leaves or Special Research Assignments, and 60% of appointed standing committee membership, respectively.

Either the Director 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. The Administrative Manager will count votes. Results will be announced on the next business day by the Director and reported in the minutes of the next meeting.

The Director may invite others, including faculty with courtesy appointments, emeritus faculty, research faculty or staff, and guests from other departments to participate in a faculty meeting or a portion thereof.

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, https://oaa.osu.edu/assets/files/documents/1.2HBUnitAdmin.pdf). The information provided below supplements these policies.

Faculty members within SES are expected to conduct research, teach, and provide service to the students, School, college and university. Among these categories, there are no simple weighting formulas. Indeed, the performance and activities in the three areas are clearly interrelated. Among the three, there will be somewhat different expectations in quantity, but not quality, for faculty members at the main campus and at the regional campuses.

The Director is responsible for ensuring that every faculty member has duties and responsibilities commensurate with his or her appointment and that the SES workload is distributed equitably among faculty. While faculty members are expected to exercise "self-determination" in conducting their research, or other scholarly activity, the Director, Associate Director in consultation with the faculty member determine teaching arrangements and, in most cases, School service. On the regional campuses, dean/department heads determine teaching and service assignments.

During on-duty semesters, faculty members are expected to be available for interaction with students, service assignments, and other responsibilities even if they have no formal course assignment that semester. 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. 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. Tenure-track Faculty

Research Activities

Faculty members within SES should distinguish themselves by exceptional accomplishments in

scholarly pursuits. Faculty members are expected to achieve national and international prominence and be among the leaders within a given area of scientific inquiry.

• Expectations for Columbus Campus faculty are as follows:

- 1. Conduct original independent research on important scientific issues and communicate the results to the scientific community. Contribute substantively to knowledge in one or more areas of focus and be favorably cited or otherwise show evidence of influence of the work in the field. Achieve a position of national (pre-tenure) and eventually international prominence (post-tenure) and be among the leaders within a given area of scientific inquiry.
- 2. Publications both quantity and quality are considered below:
 - Tenure track faculty: 2 peer-reviewed publications per year in ISI or Scopus listed journals (i.e., journal articles, monographs) or a book
 - Faculty with contractually reduced teaching loads to permit higher research productivity (i.e., most Eminent Scholars, some Distinguished University Professors; research faculty): 4 peer-reviewed publications per year (i.e., journal articles, books, monographs)
 - The following attributes of published works are considered:
 - -Quality, impact, based on citation metrics
 - -Unique contribution to a line of inquiry.
 - -A rigorous peer review process and affording a degree of dissemination.
 - -Publications where students are first author are equivalent to first-author publication by the faculty member; postdoc publications are also given more credit than simply being a co-author on a non-student publication
- 3. Maintain active research program and engage in collaborative research as appropriate to each discipline.
- 4. Obtain external grants to support research or actively seek funding. Grant support includes federal, state, local, or international grants, or industrial grants or contracts. Competitive peer-reviewed funding is weighted more favorably than other types, since it serves as a quality indicator of research.
- 5. Demonstrate a high degree of ethics in the conduct of research, including but not limited to full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

Note that invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents will be considered equivalent to an original peer-reviewed manuscript, licensing activities that generate revenues will be considered equivalent to extramural grant awards, and materials transfer activities will be considered evidence of national (or international) recognition and impact.

Additional non-peer reviewed scholarly works may include, editing prestigious volumes, guidebooks, reports.

• Expectations for Regional Campus faculty are the same with the following modifications:

- 1. 1 peer-reviewed publication every other year
- 2. Seek internal or external support for research.
- 3. Expected to make scholarly contributions of the same high quality as main campus faculty

Teaching

The Departmental guidelines on teaching loads are intended to follow OAA guidelines as described in the OAA Policies and Procedures Handbook Chapter 2, 1.4.3.1.1 (https://oaa.osu.edu/policies-and-procedures-handbook). Teaching is considered an essential role for faculty members. Indeed, promotion through the ranks requires a dedicated commitment to our educational enterprise. Faculty members are expected to present high quality courses that are characterized by enthusiasm, innovation, and mastery of material. Factors upon which the teaching contribution of a faculty member is judged include the design and content of any courses taught, contributions to curricular development, ability to motivate and stimulate students to perform at the limit of their abilities and dedication to class activities, e.g., (i) meeting the class on time, being available for student questions and discussions, (iii) effectively supervising students in independent studies and research. The evaluation of teaching performance considers: peer and student (SEI) evaluations; review of syllabi, examinations, assignments, and student work products. Teaching assignments are made by the SES Director and Associate Director in consultation with individual faculty members.

Teaching expectations for the Columbus Campus are as follows:

- 1. High quality teaching as indicated by the following:
 - Provide up-to-date content at an appropriate level in every instructional situation and demonstrate continuing growth in subject matter knowledge
 - Organize and present class material effectively with logic and enthusiasm
 - Creatively use various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment
 - Actively engage students in the learning process and encourage independent thought and creativity
 - Provide appropriate and timely feedback to students throughout the instructional process
 - Treat students with respect and courtesy
 - Improve curriculum through revision or new development of courses and/or academic programs
 - Engage in documentable efforts to improve teaching.
 - Meet classes on time, be available for student questions and discussions, and hold regular office hours
 - Favorable Student Evaluation of Instructor (SEI) scores
 - Favorable peer-teaching evaluations where applicable

2. Teach

- 2 courses per year that sum to a minimum of 6 total credit hours AND have a minimum enrollment as stipulated by the Divisional Dean of Natural and Mathematical Sciences AND at least one of the courses is a general education course or an undergraduate major course of need in Earth Science
- AND in alternate years, teach either a team taught course with a minimum of 3 credits OR a graded seminar/graded fieldtrip with minimum enrollment as defined above

This load applies to all tenured and tenure-track professors except new Assistant Professors
who may have a reduced course load during the first phase of their position stipulated in
their offer letter.

However, total annual teaching load can range from 0.5 - 6 under the following circumstances:

- Can be reduced by 1 course for major service or administrative obligation to SES as determined by the SES Director in consultation with the faculty member
- Can be reduced for FMLA
- Can be reduced due to documented teaching reductions in offer letter
- Can be increased to 6 courses if a faculty is conducting no research and has no graduate students as determined by the SES Director in consultation with the faculty member
- 3. Teach and advise undergraduate and graduate students
- 4. Mentor/advise/supervise teaching assistants assigned to faculty member's courses

In addition, if a class is cancelled because of insufficient enrollment, an additional course would normally be assigned in the same or following academic year in consultation with the Director and Associate Director of SES.

Faculty with split appointments have teaching loads in SES that are proportional to their percent appointment in SES.

Teaching expectations for Regional Campus faculty are established by the respective regional campus deans.

Service

Service expectations for the Columbus Campus are as follows:

- Make substantive contributions to the governance of the university in a collegial manner that facilitates positive contributions by others
- Contribute to the university (School and/or college and/or university)
- Contribute to the public (i.e., press releases, K-12 work, public lectures, interviews, etc)
- Contribute to the profession (i.e., professional society committees, editorial or review responsibilities, peer-review manuscripts and proposals, organize symposia/special events, work on panels or society governance)
- Engage in School level activities that support student learning (e.g., seminars, student poster sessions, and other similar events)
- Full professors mentor Assistant and Associate professors
- Service involvement evolves from participant (Assistant Professor) to leadership role (Full Professor) with rank
- Service expectations are higher if teaching reduction has been granted to complete that service
- Service expectations are lower in a year with FMLA leave

i. Special Assignments

Information on special assignments is presented in the Office of Academic Affairs Special Assignment Policy (https://oaa.osu.edu/assets/files/documents/specialassignment.pdf). Special

assignments can be for teaching, research or service.) The information provided below supplements these policies. Untenured faculty will normally be provided SAs (see teaching expectations and reductions explained in the above text) during their probationary period as designated in their offer letters. Faculty members who desire an SA should read guidance information at http://oaa.osu.edu/assets/files/documents/specialassignments.pdf and discuss the matter with their Division Chair or faculty mentors. A proposal outlining the purpose and nature of the SA is required and should be submitted to the Director.

B. Associated Faculty –Nontenure Track Faculty (< 50% appointment)

Associated Faculty who have a split faculty-staff appointment and a professorial title, with the faculty portion of the appointment cannot be more than 40%, are expected to demonstrate excellence in teaching. They are also expected to engage in scholarly activity, and participate in Department, College, and/or University level service activity commensurate with their faculty appointment percentage.

C. Parental Modification of Duties - The School of Earth Sciences strives to be a family-friendly unit in its efforts to recruit and retain high-quality faculty members. To this end, the department is committed to adhering to the College of Arts and Sciences' guidelines on parental modification of duties to provide its faculty members flexibility in meeting work responsibilities within the first year of childbirth/adoption. See the College of Arts and Sciences Pattern of Administration (https://oaa.osu.edu/assets/files/governance/college-of-arts-and-sciences/ASC_POA_2017-01-15.pdf) for details

The faculty member requesting the modification of duties for childbirth/adoption and the School Director should be creative and flexible in developing a solution that is fair to both the individual and the unit while addressing the needs of the university. Expectations must be spelled out in an MOU that is approved by the divisional dean.

X. Course Offerings and Teaching Schedules

The Associate Director of Administration will annually develop a schedule of course offerings and teaching schedules in consultation with the faculty and the Director. While every effort will be made to accommodate the individual preferences of faculty, the School's first obligation is to offer the courses needed by students at times most likely to meet student needs. To ensure 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, http://trustees.osu.edu/rules/university-rules/chapter-3335-8-instruction.html, may be cancelled and the faculty member scheduled to teach that course will be assigned to another course for that or a subsequent semester.

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 semesters of offering to assure that instructional expertise is always available for such courses.

XI. Allocation of School Resources

The Director is responsible for the fiscal and academic health of the School and for ensuring that all resources- fiscal, human, and physical – area allocated in a manner that will optimize the achievement of the School mission and its goals. The Director will discuss the department budget at least annually with the faculty and/or Advisory Committee and attempt to achieve consensus regarding the use of funds across general categories. However, final decisions on budgetary matters rest with the Director. As a

general rule, budgetary matters will be made transparent by the Director to all faculty of the School.

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 Director will consult the School Space Committee in all decision making.

The allocation of office space will include considerations such as achieving proximity of faculty members in sub-disciplines, and productivity and grouping staff functions to maximize efficiency.

A department goal is to insure that all space is actively utilized. Thus under-utilized space may be reassigned, and space that is utilized may have to be exchanged with other space in order to optimize the total space usage. The School maintains criteria for space allocation for emeritus faculty.

Departmental space must never be used for long-term storage of apparatus or personal effects. When assignments or reassignments of space are contemplated, the faculty member or other persons who will be affected by the proposed changes will be consulted prior to the final decision.

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

XII. 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, https://oaa.osu.edu/policies-and-procedures-handbook, and the Office of Human Resources Policies and Forms website https://hr.osu.edu/policies-forms. The information provided below supplements these policies. As a guideline, the College of Arts and Sciences states that no more than 10% of the Arts and Sciences faculty are expected to be on leave at one time, regardless of the type of leave.

A. Discretionary Absence

Faculty are expected to complete an Application for Leave form (https://eleave.osu.edu) or a travel request (T#) 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 academic term is substantial. Faculty Rules require that the OAA approve any discretionary absence of ten or more days (see Faculty Rule 3335-5-08, https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html).

B. Absence for Medical Reasons

When absences for medical reasons are anticipated, faculty members are expected to notify the Director as early as possible. When such absences are unexpected, the faculty member, or someone speaking for the faculty member, should let the Director know promptly so that instructional and other commitments may 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 //hr.osu.edu/public/documents/policy/policy627.pdf.

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, https://hr.osu.edu/public/documents/policy/policy645.pdf.

D. Faculty Professional Leave

Information on faculty professional leave is presented in the Office of Academic Affairs Policy on Faculty Professional Leave (https://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf). The information provided below supplements these policies. Faculty members who desire an FPL should discuss the matter with their Division Chair. The Division Chair will consult with the Director as to whether submission of a full proposal is appropriate. Because FPL proposals must be approved by the College, the Office of Academic Affairs, and the Board of Trustees before they are implemented, faculty should submit FPL proposals for a particular year no later than the end of Autumn Semester of the preceding year, except when the development of an unexpected opportunity precludes such timing.

The SES peer review process will then take place in January and is outlined below based on College guidelines. Once the peer review process is complete, Division Chairs submit to the Director a letter outlining how the applicant meets these criteria by the end of January.

Review process:

The review should consider the following criteria in reviewing the merit of the applications:

- clarity of the project description, the specific objective for the leave, and the purpose of the project being undertaken
- evidence that the project will make a significant contribution to the field involved
- evidence that the applicant will be able to make substantial progress on the project or in the area of study during the requested leave period
- the qualifications of the applicant to undertake the proposed study and the importance of the project to their professional development

The Director's recommendation to the Divisional Dean regarding an FPL proposal will be based on the quality of the proposal, its benefit to the School and to the faculty member as well as the ability of the School to accommodate the leave at the time requested. Supplemental Compensation and Paid External Consulting Activity

XIII. Supplemental Compensation and Paid External Consulting

The University's policies with respect to supplemental compensation and external consulting are set forth in the OAA Policies and Procedures Handbook:

http://oaa.osu.edu/assets/files/documents/facultycompensation.pdf and http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf. The School adheres to these policies in every respect. In particular, this School 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 Director 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 School. 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.

For purposes of the Faculty Paid External Consulting Policy and unless otherwise set forth in the

departmental/college guidelines of POA, a "nominal honorarium" for external professional activities is that which is considered "usual and customary" in higher education and the specific field of study.

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.

OAA also requires colleges and departments to determine a process for a faculty member to request permission to use a textbook or other material that is authored by that faculty member and the sale of which results in a royalty being paid to him or her. Faculty are responsible for selecting textbooks for their courses, considering appropriate content, level, and mindful of cost to students. In the event the selected textbook is authored by the instructor, the use of the textbook will be approved by the Curriculum Committee, with the stipulation that royalties are paid directly to a departmental fund.

XIII. Financial Conflicts of Interest

The university's policy with respect to financial conflicts of interest is set forth in the Office of Research website https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Financial-Conflict-of-Interest.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, 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 VIII above.

XIV. Grievance Procedures

Members of the School with grievances should discuss them with the Director 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.

A. Salary Grievances

A faculty or staff member who believes that his or her salary is inappropriately low should discuss the matter with the Director. 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 Director and wish to pursue the matter may be eligible to file a more formal salary appeal (Office of Academic Affairs Policies and Procedures Handbook, https://oaa.osu.edu/policies-and-procedures-handbook). The college salary appeals process is outlined in its pattern of administration. Staff members who are not satisfied with the outcome of the discussion with the Director and wish to pursue the matter should contact Employee and Labor Relations in the Office of Human Resources https://hr.osu.edu/services/elr/.

B. Faculty Misconduct

Complaints alleging faculty misconduct or incompetence should follow the procedures set forth in Faculty Rule 3335-5-04, www.trustees.osu.edu.

C. Faculty Promotion and Tenure Appeals

Promotion and tenure appeals procedures are set forth in Faculty Rule 3335-5-05, (http://trustees.osu.edu).

D. Sexual Misconduct

The university's policy and procedures related to sexual misconduct are set forth in OHR Policy 1.15 (https://hr.osu.edu).

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 Director, the Director will first ascertain whether or not the students require confidentiality. If confidentiality is not required, the Director will investigate the matter as fully and fairly as possible and provide a response to both the student and any affected faculty. If confidentiality is required, the Director 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 much always be handled strictly in accordance with university rules and policies. Faculty should seek the advice and assistance of the Director 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 https://oaa.osu.edu/coam.html and http://senate.osu.edu/committees/COAM/COAMDuties.pdf.

F. Code of Student Conduct

The Code of Student Conduct is Faculty Rule 3335-23 http://studentlife.osu.edu/pdfs/csc_12-31-07.pdf. In accordance with the code, faculty members will report any instances of academic misconduct to the Committee on Academic Misconduct.

Appendix A. Procedures for Electing Division Chair

Divisions that wish to include their procedures for electing a Division Chair are included here.

The Earth History Division and Water, Climate, and Environment Division have adopted the following:

Division members will be informed of the meeting date, typically by email, several days in advance of a meeting.

Quorum: At least 60% faculty attendance is required to conduct business. Teleconference, phone, and videoconference are acceptable ways to participate in meetings.

Selection of Chair: Nominations are requested by the current chair. Self nominations are permitted. Current chair presents the name(s) of the nominee(s) to the division. If necessary, nominees are ranked by each division member. The top two candidates are identified from the ranked lists of nominees. Each member votes for one candidate by submitting her or his vote to the Administrative Manager by the end of the next business day. At least 60% of the members must participate. The candidate with 60% positive votes is elected chair (abstaining votes don't count in the tally).

If fewer than 60% of the members participate in the election or neither candidate receives 60% of the vote (e.g. for Earth History, two members abstain and each candidate receives two votes) then the School Director selects the Division chair preferably from the list of the top two candidates.

This election process may proceed annually during the spring division meeting. The term of a Chair begins in the autumn semester. The length of the term follows the School's POA.

Appendix B Alphabetical List of Hyperlinks Appearing in Ohio State University Patterns of Administration and Appointments, Promotion, and Tenure Documents

Academic Rights and Responsibilities Reaffirmation: https://oaa.osu.edu/rightsandresponsibilities.html

Affirmative Action, Equal Employment Opportunity and Non-Discrimination/Harassment: http://hr.osu.edu/policy/policy/10.pdf

American Association of University Professors' Statement on Professional Ethics http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm

Application for Leave form: https://eleave.osu.edu

Code of Student Conduct: https://trustees.osu.edu/rules/code-of-student-conduct/

Committee on Academic Misconduct: https://oaa.osu.edu/coam.html and https://oaa.osu.edu/co

Faculty Rule 3335-3 (administration): https://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html

Faculty Rule 3335-5 (governance): https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html

Faculty Rule 3335-6 (tenure-track faculty appointments): https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html

Faculty Rule 3335-7 (clinical and research faculty appointments):

 $\frac{https://trustees.osu.edu/rules/university-rules/chapter-3335-7-rules-of-the-university-faculty-concerning-clinical-faculty-appointment-reappointment-and-nonreappointment-and-promotion.html}{}$

Faculty Rule 3335-8 (instruction): https://trustees.osu.edu/rules/university-rules/chapter-3335-8- instruction.html

Office of Academic Affairs Governance Documents Webpage: http://oaa.osu.edu/governance

Office of Academic Affairs *Policies and Procedures Handbook*:

http://oaa.osu.edu/sites/default/files/uploads/handbooks/policies-and-procedures/full-handbook.pdf

Office of Human Resources Employee and Labor Relations: https://hr.osu.edu/services/elr/

Office of Human Resources Employment Services: www.hr.osu.edu/

Office of Human Resources Policies and Forms: https://hr.osu.edu/policies-forms

Policy 1.15 (sexual misconduct): https://hr.osu.edu/public/documents/policy/policy115.pdf

Policy 6.27 (paid leave): https://hr.osu.edu/public/documents/policy/policy627.pdf

Policy 6.45 (unpaid leave): https://hr.osu.edu/public/documents/policy/policy645.pdf

Policy on Equal Opportunity: https://hr.osu.edu/public/documents/policy/policy110.pdf

Policy on Faculty Annual Review: http://oaa.osu.edu/assets/files/documents/annualreview.pdf

Policy on Faculty Appointments: https://oaa.osu.edu/assets/files/documents/facultyappointments.pdf

Policy on Faculty Compensation: https://oaa.osu.edu/assets/files/documents/facultycompensation.pdf

Policy on Faculty Conflict of Commitment:

https://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf

Policy on Faculty Financial Conflict of Interest:

https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Financial-Conflict-of-Interest.pdf

Policy on Faculty Paid External Consulting:

https://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf

Policy on Faculty Professional Leave:

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

Policy on Faculty Recruitment and Selection:

http://oaa.osu.edu/sites/default/files/links files/facultyrecruitment.pdf

Policy on Special Assignment: https://oaa.osu.edu/assets/files/documents/specialassignment.pdf

Rules of the University Faculty: https://trustees.osu.edu/index.php?q=university/facultyrules

Sample Letter Requesting External Evaluation: https://oaa.osu.edu/assets/files/documents/Letter201.pdf

University Center for the Advancement of Teaching: www.ucat.osu.edu