

**PATTERNS OF ADMINISTRATION  
SCHOOL OF EARTH SCIENCES  
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## **PATTERNS 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 and other policies and procedures of the University to which the School and its faculty are subject. The latter rules, policies and procedures, and changes in them take precedence over statements in this document.

This Patterns of Administration is subject to occasional 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 reaffirmations, require consultation with the faculty, and approval by the college office, and the Office of Academic Affairs.

### **II. School Mission**

The mission of the School of Earth Sciences is education, research and service to understand Earth, environment, and human systems and the complexities of their interactions. Our faculty members have recognized the importance of a portfolio of Earth science specialties as a foundation for programs of distinction to provide insights into fundamental Earth and planetary processes and to link studies of Earth processes with fundamental science and critical societal problems. SES will help to realize the tremendous research and educational opportunities of the coming decades. A detailed description of the focus of the School's current research activities and its future agenda can be found in the Self-Study and Strategic Plan in 2010 and 2012, respectively, submitted to the College of Arts and Sciences (ASC) and the Office of Academic Affairs (OAA).

Excellence in research involves advancing state-of-the-art knowledge in a variety of research disciplines within the School. It emphasizes the publication of research results in high quality peer-reviewed journals; the publication of other scholarly documents, book chapters, books, and monographs; and the securing of external funding to conduct research and support graduate students who will become the new leaders in the field. Mentoring of graduate students to completion of Ph.D. degrees is a significant component of a faculty's research accomplishments.

Excellence in teaching involves (1) presenting the most complete and stimulating education possible in the SES undergraduate services courses, (2) introducing innovation in the courses designed primarily for our majors, (3) continuous updating of our upper level undergraduate and graduate courses to present state-of-the-art information to our students in the most exciting and stimulating ways possible, and (4) ongoing evaluation of teaching quality, both by peers and students, to improve our educational offerings to the highest possible level.

Excellence in service involves serving responsibly on committees within SES, ASC, and the university. It also entails serving on professional committees at state, national and international levels, providing service in the form of peer reviewing manuscripts, proposals, and other documents for journals and funding agencies, and evaluating colleagues at other universities involved in the promotion and tenure process. Finally, it requires sharing the fruits of our educational and research endeavors with the community outside of the university.

### **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, [www.oaa.osu.edu/acad\\_rts\\_respons.php](http://www.oaa.osu.edu/acad_rts_respons.php).

### **IV. Faculty**

Faculty Rule 3335-5-19, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php), 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 include tenure-track faculty with compensated FTEs of at least 50% in the School. Lecturers and other associated faculty, emeritus faculty, in the School may be 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.

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 is provided in the Appointments, Promotion and Tenure document.

### **V. Organization and School Services and Staff**

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 spending in School and Division budget lines, 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; supervises classified civil service staff and administrative and professional staff; assists the Director and Associate Director with the instructional program. S/He also acts as the Building Coordinator for both Mendenhall Laboratory and Orton Hall.

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 secretary for the School. The principle duties of the Office Associate include gathering and organizing graduate student admissions materials; processing all graduate student-related human resources requests including hiring; supervises undergraduate student administrative assistants; assists Administrative Manager with promotion and tenure processes; provides back-up assistance with course scheduling and travel processing.

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.

The definition of “support services” is taken to mean any facility operated under the direct control of SES and functioning in support of the School’s instructional and research programs. This includes activities/facilities operated on either a no-cost or earnings account basis. All support service operations, including any A&P staff involved with these operations, are the direct responsibility of the Director, who may delegate authority of administration for specific operations to individual faculty or staff. The School Administrative Manager is authorized to monitor and explain individual support services and, if application, their cost schedule. Every attempt is made to make all support services available for use by faculty, staff, students, and where appropriate, to other units and individuals at The Ohio State University and the non-university community.

## **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**

Following here is a brief overview of the organizational structure of SES with details provided in subsequent sections. The Executive Dean of the College of Arts and Sciences selects and appoints the School Director to a four-year term.

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

A division chair leads each Division and reports to the Director. A division chair is responsible for managing the affairs of a division, and assisting the Director in managing the affairs of the School. He/she is selected and appointed by the Director. The division members will vet potential division chair candidates and provide a list of recommended candidates to the Director. A non-binding vote, indicating the level of support for a single candidate or preference among multiple candidates will be taken and results will be forwarded to the Director to inform his or her decision. Division chair appointments will be renewed by the Director on a year-to-year basis. Each Division is responsible for academically promoting not only its own discipline(s), but ensuring that its actions and enterprises support and promote the School mission. Each Division is responsible for effectively administering the authority delegated to it by the School.

In the future, if new divisions are proposed or changes are sought with respect to the existing divisions, appropriate OAA guidelines will be followed.

### **A. Director**

The primary responsibilities of the Director are set forth in Faculty Rule 3335-3-35, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php). 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, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php), also requires the Director to prepare, in consultation with the faculty, a document setting forth policies and procedures pertinent to promotion and tenure.

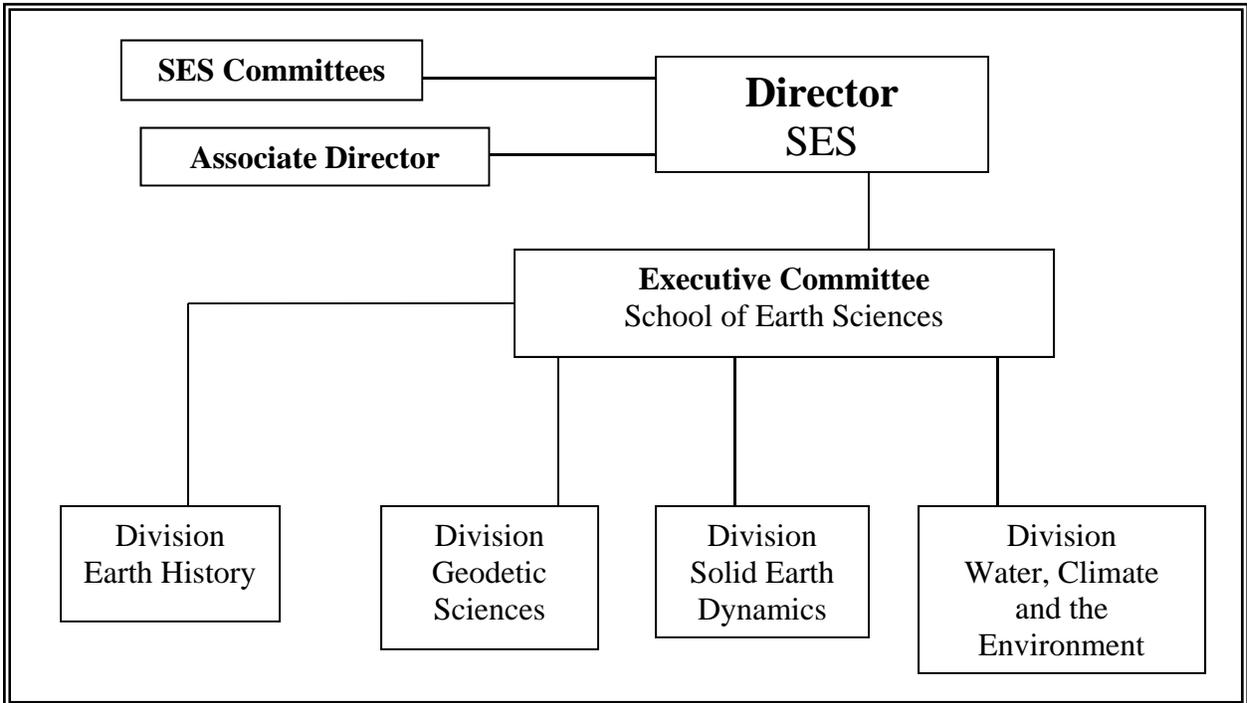


Figure 1: Organizational Chart for SES

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.
- Responsibility 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 (See Strategic Plan of 2012 and Semester Conversion documents.)
- 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, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php), 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 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**

Division Chairs will assist and advise the Director in the administration of the School. 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 the aforementioned individuals will serve on the Director's Advisory Committee. All of these individuals either volunteer and/or are appointment by the Director. When there is turnover the individual is vetted by the other members of the Advising Committee.

## **C. Divisions**

SES is organized in a manner that provides formal status for its divisions with certain administrative authority residing therein. Faculty (including regional campus faculty) will have a primary affiliation with one of the divisions. Faculty members can choose their primary

divisional affiliation. Faculty members also can be invited to be affiliated with another division. The faculty members in each division through their participation on divisional committees and/or through their direct participation in divisional and academic matters will contribute to the overall operation of the division.

#### **D. Division Chairs**

Division Chairs have administrative responsibilities in managing the affairs of divisions. With respect to this Pattern of Administration, the Division Chairs shall:

- Consult with the Associate Director of Administration, and course instructors on the teaching responsibilities for faculty members within each division.
- Assume responsibility of overseeing academic programs (graduate or undergraduate) that have been established with faculty members primarily within the Division.
- Division Chairs select divisional representatives to serve on the SES Evaluation Committee. If asked, Division Chairs will meet with the School Director to provide additional input into the process of annual performance assessments of faculty and raise-setting.
- Schedule meetings of the regular divisional faculty during the academic year. 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 meeting.
- Make decisions with advice and counsel of the Director, Director's Advisory Committee, and faculty within the Division.
- Help select the membership of divisional committees, and other special assignments; recommend to the School Director members for service on all School-level committees, both standing and ad hoc.
- Advise on leave of absences for faculty.
- With input from his/her division members, formulate priorities for hiring new faculty and staff, prepare documentation about the need for new faculty in specific areas, and seek permission to initiate searches from the Director of the School and the Dean of the College.

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

#### **E. School Committees**

The School shall maintain the following standing committees: Director's Advisory Committee, Promotion and Tenure Committee, School Curriculum Committee, School Graduate Studies Committee, School Evaluation Committee, Undergraduate Committee, Computer Committee,

Diversity 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 include Building Coordinators, Health and Safety Officer, Orton Memorial Geological Library Advisor, Bownocker Lecture Chairperson, Geology Club Advisor, Sigma Gamma Epsilon Advisor, Alumni Newsletter Committee, Alumni Advisory Committee, Friends of Orton Committee, Orton Award Committee, Field Camp Coordinator, 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 committees will have at least one faculty firm each division. Untenured faculty may be asked to serve on any of the School committees except the Promotion and Tenure Committee. Regional campus faculty may be appointed to School standing committees with the same restrictions as apply to the Columbus campus. The Director is an ex-officio member of all School committees. All members of these committees are approved by the Advisory Committee. All the committees are reappointed annually.

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.

- **Director's Advisory Committee** – This committee advises the Director on matters of budget, policy, assignment of space and facilities, and personnel. Members of this committee are noted above in Section VII – B.
- **Promotion and Tenure Committee** – The membership of this committee and procedures followed in recommending of tenure and promotions in rank for faculty of the Columbus and regional campuses are detailed in the Appointments Promotion and Tenure document. Briefly, the TIU is the School of Earth Sciences. Per recommendations made by OAA, the P&T Committee will consist of one Full Professor from each division. Although all faculty members eligible to vote will vote, the P&T Committee will assist the P&T Chair in managing personnel, and promotion and tenure issues such as securing external letters, etc. the Chair of the P&T Committee is appointed by the Director with the advice of the Division Chairs and is a member of the Director's Advisory Committee. The School P&T Committee shall deliberate, vote, and make recommendations to initiate non-mandatory promotions, and recommend tenure and/or promotion on behalf of the School. The P&T process is initiated at the Division level with the Division responsible for coordinating requests for necessary letters.
- **Curriculum Committee** – This School committee will consist of one faculty member from each division and a chair, who is appointed by the Director; this individual will usually be the Associate Director of Administration. The Division Chairs will develop the process for selecting the faculty members on the committee. This committee will provide a School perspective and integration on courses and programs emanating from Divisions. The Chair of the Curriculum Committee is responsible for approving or, when necessary, creating documentation that involves proposed courses, deleted courses, and modified courses; 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

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.

- **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, organize campus visits for prospective students, 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 document that provides a detailed account of School objectives, requirements, and regulations for graduate degrees.

- **Undergraduate Committee** – This School committee shall consist of four faculty members as well as the Chair of the committee. The Division Chairs will help develop the process for selecting the faculty members on the committee from their divisions. One of the committee members, usually the Chair, will serve as Undergraduate Academic Coordinator, advising students who are entering the major and/or assigning them to advisors. 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, now housed in SES, to better coordinate undergraduate major advising.
- **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. The Division Chairs will develop the process for selecting the faculty members on the committee from their divisions. 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 regular faculty, the senior SES IT staff specialist, and interested computer users from the faculty, staff, and an undergraduate student and a graduate student. The Director, in consultation with Division Chairs, will appoint the Chair of the committee. 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.
- **Health and Safety Committee** – SES has a Health and Safety Committee composed of tenure-track faculty members with, as appropriate, staff serving as ex officio members. The committee is constituted to include faculty 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 two students. The Director will be an ex officio member. This committee will advise the Chair on all issues related to diversity issues in the School including recruitment, workplace attitudes, etc. This committee will be asked to prepare a report on the diversity status of SES on at least a biannual basis.
- **Faculty Search Committee** – These committees will consist of at least one faculty member from each division and an additional faculty will chair the committee (five members in all). The chair of each search committee will come from a division that will not be the divisional home of the searched for faculty. The Director will appoint the chair and the advisory committee will appoint the other members.

## F. Division Committees

Divisions, depending on their size, may wish to form committees or simply assign the Division as a whole to consider matters of P&T, faculty compensation, and faculty hires. The only specific committees that must be formed are mentor committees.

- **Mentor Committees** – Two mentors will provide advice toward promotion (with tenure for assistant professors) to untenured and associate professors. Mentors are chosen by the Division Chair and School Director in consultation with the advisee and relevant faculty. In general, and when possible, one mentor will be chosen from the Division, while the other can be from any division in consultation with the advisee, Division Chair, and Director. 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. It is recommended that the mentors meet at least once a year (early Spring Semester) with their charge(s) to assess progress toward promotion. 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. Mentors are asked to provide written reports to the advisee with a copy to the Division Chair and the Director.

An untenured faculty member provides copies of his/her Annual Activity Report and meets with the Mentor Committee during the early part of Spring Semester each year. An annual report on research and teaching is prepared and signed by the Mentor Committee. This report is composed of a summary of the meeting, including recommendations made to the advisee, and copies of the written teaching evaluations provided to the advisee. The Mentor Committee forwards a written and signed report of this meeting to the Director, Division Chair, and faculty member. This report, which is part of the untenured faculty member's personnel record, provides a candid analysis of progress and highlights any required action. The Director may provide a letter on progress and remedial action to the untenured faculty member including a copy of the Mentor Committee's report. This would be included as part of the faculty member's annual evaluation. Annual Mentor Committee reports are made available to the Promotion and Tenure Committee. This mentoring process applies both to Columbus and regional campus faculty.

- **Promotion and Tenure** – The Division advises the P&T Committee to help in the preparation of necessary documentation including the solicitation of external letters of evaluation. All such

documentation is delivered in due course to the School P&T Committee that oversees the process and is responsible for conducting the P&T deliberations at the School level.

- **Search Committees** – The Director, in consultation with the Division authorized to fill a faculty or staff vacancy, shall constitute the corresponding search committee. The Search Committee shall follow university guidelines and procedures in arriving at a recommendation for a new faculty hire in the School. The final selection of a candidate is determined by a vote of the SES faculty.

## **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. Those faculty members 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.

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.

All votes at the School level will be undertaken by secret written ballot. Divisions may devise alternative methods of voting. In either case, a majority vote constitutes a decision (except in P&T cases at the School level where a minimum of 60% of the submitted yes/no votes constitutes a decision). Double blind ballots will be provided directly to faculty or within one day after a School faculty vote is called. Faculty will have 24 hours to vote on the issue once ballots are distributed. Ballots are to be placed in the ballot box in the School office. Provision will be made for faculty from regional campuses that cannot use this procedure. 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.

## **X. Distribution of Faculty Duties and Responsibilities**

The university's policy with respect to faculty duties and responsibilities is set forth in the Office of Academic Affairs Policies and Procedures Handbook, <http://oaa.osu.edu/handbook.html>. 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; for example, teaching and research are related endeavors, particularly in the context of graduate education. 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 and faculty member determine teaching arrangements and, in most cases, School service. On the regional campuses, dean/department heads determine teaching and service assignments.

Teaching and service assignments balance the needs of the School with the preferences of the faculty member within the context of the School’s policy on faculty duties and responsibilities described below. Many faculty members voluntarily take on a variety of professional activities that fall outside the School’s policy on faculty duties and responsibilities. These activities often benefit the School or university and, to the extent possible, should be taken into account in considering a faculty member’s total workload.

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 Special Research Assignment.

Faculty Rule 3335-5-08 requires that absences from campus be approved by the Director and Divisional Dean; and, if it is for more than ten consecutive business days during a semester, additional approval is required from the College and the Office of Academic Affairs.

### Research Activities

Faculty members within SES at the Columbus campus should distinguish themselves by exceptional accomplishments in scholarly pursuits. For our purposes, scholarly activity encompasses the writing of books, review papers, articles in refereed journals, volumes or monographs, reports, guidebooks, and conference abstracts. Faculty members are expected to achieve national and international prominence and be among the leaders within a given area of scientific inquiry.

Our expectations are that faculty members publish two to three peer-reviewed papers in high quality journals each year, supervise two or more graduate students and support their research effort through federally- and state-funded or industrial research grants or contracts. Scholarly contributions in the form of monographs, prestigious volumes, and books are considered as valuable complements to these expectations. We expect faculty members to accept responsibility for supporting their research program.

Faculty members at regional campuses are expected to make scholarly contributions of the same high quality as faculty at the Columbus campus but overall, the number of publications may be lower. The larger teaching loads and other impediments to research productivity at regional campuses will be recognized as important constraints in evaluating research accomplishments.

### Teaching

The university’s policy with respect to faculty teaching load is set forth in the Office of Academic Affairs Policies and Procedures Handbook, <http://oaa.osu.edu/handbook.html>. The information provided below supplements these policies.

Faculty members in the School of Earth Sciences are expected to engage in teaching, research, and service. Because the level of effort in each of these categories is variable for individual faculty, SES has

adopted a flexible teaching load policy. However, the Director has ultimate responsibility for managing the teaching efforts of the School.

A typical teaching load for a faculty member on the Columbus campus is about three courses. When the conversion from quarters to semesters occurred it was noted and acknowledged that if SES was to maintain its current commitment to GEC enrollments, offer our major courses at the same frequency as in the past, as well as maintain our graduate courses, some faculty would have to teach more than the previously stated 2 courses per academic year. These decisions about teaching loads are made by the Director and Associate Director in consultation with the individual faculty. It is assumed that faculty will be engaged in teaching/advising undergraduates as well as graduate students. As outlined in Appendix A, this teaching load assumes a strong and active research program indicated, for example, by publications in leading journals, two or more graduate students, and strong external funding. The Associate Director of Administration, in consultation with the faculty, will determine the assignment to courses. More active researchers with large funded programs could be assigned fewer courses; however, these faculty members can expect at least one large class assignment. Faculty without a substantial research program that includes graduate students and extramural funding will be asked to teach more classes. Should a course be cancelled because of insufficient enrollment, an additional course would normally be assigned in the same or following academic year. Faculty with partial appointments in other academic units will have their teaching loads split between the units in an agreement drawn up in their letters of order between the unit Directors/Chairs. For example, a 50-50 appointment would indicate a 50% teaching responsibility of a normal SES appointment.

Variations to the normal teaching load will take into account, when possible, major administrative responsibilities. For example, a faculty member who chairs a major School committee or who takes on a major School responsibility might teach one fewer courses. However, administrative responsibilities alone do not eliminate a faculty member's teaching responsibility.

The teaching loads for faculty members at regional campuses are determined by the Dean and Director of their campus in consultation with the faculty member. Because the teaching load has some influence on promotion and tenure of these faculty members, the Director of SES may consult with the Dean and Director of the regional campus concerning teaching loads.

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, (ii) 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.

Section 5 and Appendix A describes in detail expectations in terms of teaching loads.

### Service

A faculty member is expected to contribute his or her abilities for the benefit of the university (school, college, university), the public, and the profession. This service can take many different forms, such as participation on committees, undertaking editorial or review responsibilities for journals, participating in the peer-review processes for awarding grants, organizing symposia or special sessions, and working on panels or society governance.

## A. Special Assignments

Information on special assignments is presented in the Office of Academic Affairs Special assignments can be for teaching, research or service Policies and Procedures Handbook, <http://oaa.osu.edu/assets/files/documents/specialassignments.pdf>. The information provided below supplements these policies. Untenured faculty will normally be provided an SA during their probationary period. Reasonable efforts will be made to provide SA opportunities to all productive faculty on a rotating basis subject to the quality of faculty proposals, including their potential benefit to the School, and the need to assure that sufficient faculty are always present to carry out the work of the School. Reasonable efforts will be made to provide SA opportunities to all productive faculty members on a rotating basis subject to the quality of faculty proposals, including their potential benefit to the School and the need to ensure that sufficient faculty are always present to carry out School work. SES policies will be consistent to those of the college.

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. The Director will normally announce decisions regarding SAs for the next academic year no later than June 30 of the previous academic year, but retains the option of making decisions regarding proposals at other times when circumstances warrant such flexibility.

## XI. 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 3335-8-17, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php), 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. 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.

## XII. 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 School budget biannually with the Advisory Committee and attempt to achieve consensus regarding the use of funds across the School and Divisions. 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 criteria for space allocation for both current and emeritus faculty has recently been adopted and approved by the faculty (i.e., 2013, 2012 respectively). These criteria will be used by the Director to allocate space.

### **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, <http://oaa.osu.edu/handbook.html>, and the Office of Human Resources Policies and Procedures website, [www.hr.osu.edu/policy/policyhome.htm](http://www.hr.osu.edu/policy/policyhome.htm).

#### **A. Discretionary Absence**

Faculty are expected to notify the Director well in advance of a planned absence (for attendance at a professional meeting or to engage in consulting) to provide time for its consideration and approval, and time to assure that instructional and other commitments are covered. Discretionary absence from duty is not a right and the Director 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. Rules of the University Faculty require that the College and the Office of Academic Affairs approve any discretionary absence of ten consecutive business days or more.

#### **B. Medical Absence**

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, [www.hr.osu.edu/policy/index.aspx](http://www.hr.osu.edu/policy/index.aspx).

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

The university's policy with respect to unpaid leaves of absence and entrepreneurial leaves of absence are set forth in the Office of Academic Affairs Policies and Procedures Handbook, <http://oaa.osu.edu/handbook.html>.

#### **D. Faculty Professional Leave**

Information on faculty professional leave is presented in Book 2 of the Office of Academic Affairs Policies and Procedures Handbook, <http://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 the Director. The Director will indicate 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 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. The Director will consult the Advisory Committee for additional evaluation of the FPL proposal.

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

The university's policies with respect to supplemental compensation and paid external consulting are set forth in the Office of Academic Affairs Policies and Procedures Handbook, <http://oaa.osu.edu/handbook.html>. The information provided below supplements these policies.

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 course of compensation. External consulting must also be approved. Approval will be contingent upon 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 supplementally compensated activities and external consulting combined.

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

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

The university's policy with respect to financial conflicts of interest is set forth in the Office of Academic Affairs Policies and Procedures Handbook, <http://oaa.osu.edu/handbook.html>. 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.

#### **XVI. 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, <http://oaa.osu.edu/handbook.html>). Staff members who are not satisfied with the outcome of the discussion with the Director and wish to pursue the matter should contact Consulting Services in the Office of Human Resources ([www.hr.osu.edu](http://www.hr.osu.edu)).

#### **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/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php).

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

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

#### **D. Sexual Harassment**

The university's policies and procedures related to sexual harassment are set forth in the Office of Human Resources Policy, [www.hr.osu.edu/policy/index.aspx](http://www.hr.osu.edu/policy/index.aspx).

#### **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 must 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 (see [www.oaa.osu.edu/coam/home.html](http://www.oaa.osu.edu/coam/home.html) and [www.senate.osu.edu/COAMDuties.pdf](http://www.senate.osu.edu/COAMDuties.pdf)). The Code of Student Conduct is Faculty Rule 3335-23, [www.trustees.osu.edu/Rules23/index.html](http://www.trustees.osu.edu/Rules23/index.html).

## **Appendix A: Faculty Workload Policy for Teaching**

### Basic Teaching Load

The basic teaching load for each faculty members is three courses (9 credit hours) including at least one large enrollment general education course. This teaching load assumes a strong and active research program indicated for example by publications in leading journals, two or more graduate students, and strong external funding.

### Adjustments to Teaching Load

The basic teaching load can be adjusted depending upon the research, administration, and university service loads. For example, faculty with greater research loads, exemplified by large numbers of students or research associates, numerous high quality publications, and strong external funding could be assigned lighter teaching. Conversely, faculty without a substantial research program that includes graduates students and/or extramural funding will be assigned a heavier teaching load. The number of courses assigned to a faculty member in an academic year will range from two to six. Should a course be cancelled because of insufficient enrollment, an additional course will be assigned in the same or following academic year. Examples of adjustments that may be made are:

A faculty member who chairs a major School committee or who takes on a major administrative responsibility for the School may teach one less course. Faculty members conducting a major research program that involves several personnel and large extramural funding may teach one or two fewer courses. However, faculty members with reduced teaching might expect at least one large class assignment. These decisions will be made by the Director in consultation with the Associate Director and the faculty member.

Faculty members without a research program that includes graduate students and a major School responsibility may teach up to six courses, two or three of which will be large enrollment general education courses.

### Regional Campus Faculty

Regional campus faculty members' responsibilities are determined by the Dean and Director of their campus in consultation with the faculty member. Because the teaching load has some influence on promotion and tenure of these faculty members, the Director of SES may consult with the Dean and Director of a regional campus concerning teaching loads.

### Exceptions to the Above Policies

The above policies do not constitute a contractual obligation and fluctuations in instructional demands may necessitate temporary deviations from policy. Assignments of teaching and service loads remain the responsibility of the Director and, in the case of the regional campuses, the regional campus Dean/Director.