

VOLUME 1 ADMINISTRATORS

CHAPTER 1 GOVERNANCE DOCUMENTS

1.0 PATTERN OF ADMINISTRATION

Revised: 05/01/08

Edited: 05/01/08

1.0.1 REQUIREMENTS

Revised: 05/01/08

Edited: 08/04/09

Faculty Rule 3335-3-35 requires chairs of departments and directors of schools (hereafter, chairs) to develop the pattern of administration (POA) document in consultation with the faculty. It does not require formal faculty acceptance of the document, although most units provide for such a process. It is obviously very desirable for the chair and faculty to reach consensus on the document; however, where divisions in the unit make consensus or formal faculty approval impossible, the chair may have to implement a pattern without consensus.

The Office of Academic Affairs (OAA) expects newly appointed or reappointed chairs to complete the consultation process outlined in the current POA and to have in place a new or reaffirmed POA that has been approved by the dean and by OAA no later than the end of the academic year in which they are appointed or reappointed. The current POA remains in effect until a new or revised one is approved by OAA.

The POA should strike a balance between assuring active and meaningful involvement of the faculty in the governance of the unit and recognizing that the chair has ultimate responsibility for the unit's administration.

A unit may develop advisory bodies to consider and make recommendations on any issue requiring a decision, from course assignments to salary recommendations, but the chair must retain responsibility for the final decision or recommendation to a higher level of administration. The chair has ultimate responsibility for allocating the unit's resources in a way that makes the most fiscal and programmatic sense and cannot delegate that responsibility.

Do not include in the POA content that overlaps material required in the department's APT document. Redundant content in the POA and the APT document serves no real purpose and often results in inconsistencies.

Refer to and be consistent with the Rules of the University Faculty. It is inadvisable to quote rules extensively, however, since such passages will not reflect later revisions. In place of quoted material, provide the address of the web site of the Board of Trustees (BOT), Rules of the University Faculty (www.trustees.osu.edu/ChapIndex/index.php) and the rule number.

Date the first page of the POA, include a table of contents, and paginate the document. In order to promote consistency across the university, follow the university's editorial style guide found at www.osu.edu/resources/styleguide.php. OAA encourages units to make their POA available on their websites.

OAA offers a suggested (not required) outline for a POA in response to chairs' requests for assistance of this kind prior to beginning work on their own pattern. The outline covers topics appropriate for most units but may not fit the needs of all, given the diversity of unit missions, structures, and cultures.

In addition, there is a prototype POA found in the section on prototype documents. To the extent possible, the prototype provides actual content and language that could be adopted in its present form, or modified to better suit the particular needs of a unit. The suggested content and language are based on university rules and policies as well as on common practices that work well for many units. Chairs are strongly encouraged to follow the prototype POA.

Sections of italicized text in the prototype document are notes and comments; they should not appear in a department's POA. Highlight deviations from and additions to this prototype document when submitting the draft document to OAA for approval. Also highlight changes to the current POA.

Please note that material required in the APT document (see Section 2.0 of this chapter) is not included in the POA outline. For ease of use maintain these as separate documents.

Formal department policies not included in the POA must also be submitted as appendices for OAA review when the POA is submitted for review and approval.

1.0.2 COLLEGES

Revised: 08/04/09

Edited: 08/04/09

OAA expects newly appointed or reappointed deans to complete the consultation process outlined in the current POA and to have in place a new or reaffirmed POA that has been approved by OAA no later than the end of the academic year in which they are appointed or reappointed. The current POA remains in effect until a new or revised one is approved by OAA.

The minimum content required for department POAs is described in Faculty Rule 3335-3-35. OAA encourages colleges to include similar content in their POAs.

Colleges must include at a minimum sections on the college mission, academic rights and responsibilities, and college faculty in their POAs. They are encouraged to include sections on the organization of college services and staff, college administration, and sections on any college policies that supplement the OAA policies.

Colleges must have two committees that are not required at the department level. One is a college investigations committee, per Faculty Rule 3335-5-04, and the other is a salary appeals committee (see Volume 2, Chapter 4, Section 2). Because business for these committees is rare, these functions may be assigned to another standing committee or the POA may establish procedures for appointing them should the need arise.

Examples of committees found in colleges across the university include committees on budget, curriculum, diversity, faculty development, graduate education, honors and scholars, library, personnel, research, technology, and undergraduate education. Most colleges have an executive committee. Many colleges have faculty advisory committees, staff advisory committees, and graduate student and undergraduate student advisory committees.

The BOT requires that every college and department have formal criteria and procedures for reviewing the merits of proposals for faculty professional leave submitted from faculty within their units.

Colleges that wish to establish college centers must include a template for proposals to establish centers and procedures for their periodic review (no less than every five years). See Faculty Rule 3335-3-36 and the OAA [Academic Organization and Curriculum Manual](#) for guidelines on establishing a college center. New centers will not be approved until this section of the POA has been approved by OAA.

1.1 SUGGESTED OUTLINE

Revised: 08/26/04

Edited: 08/01/07

This outline uses “department” as the example.

Pattern of Administration for the Department of XXX

- I. Introduction
- II. Department Mission
- III. Academic Rights and Responsibilities
- IV. Faculty
- V. Organization of Department Services and Staff
- VI. Overview of Departmental Administration and Decision-Making
- VII. Department Administration

- A. Chair
- B. Committees
- VIII. Faculty Meetings
- XI. Department Faculty Teaching Load Policy
- X. Policy on Faculty Duties and Responsibilities
- XI. Course Offerings and Teaching Schedules
- XII. Allocation of Department Resources
- XIII. Leaves and Absences
- XIV. Supplemental Compensation and Paid External Consulting Activity
- XV. Financial Conflicts of Interest
- XVI. Grievance Procedures

1.2 DEPARTMENT MISSION

Revised: 05/01/08

Edited: 05/01/08

Include the department's academic mission. This statement must also appear in the department's APT document. This is the only example of duplicated material in the two documents; the language must be identical in both.

1.3 ACADEMIC RIGHTS AND RESPONSIBILITIES

Revised: 08/01/07

Edited: 08/01/07

Include the link to the university's reaffirmation of academic rights and responsibilities, www.oaa.osu.edu/acad_rts_respons.php.

1.4 FACULTY

Revised: 08/04/09

Edited: 08/04/09

Describe who is considered a faculty member in the department for voting purposes and for purposes of consultation (if the two are different). Only regular faculty may have voting rights, but departments differ in how they handle joint appointments (both salaried and non-salaried). **Joint-appointed faculty should vote on promotion and tenure cases only in their TIU (see Volume 1, Chapter 3, Section 2.1)** This section could also describe who is considered a member of the graduate faculty if this information is not contained in a separate graduate handbook.

Departments with a regular clinical track (RCT) should define clinical faculty and should address what titles they will be given, what governance rights will be extended to clinical faculty, and what appointment cap is in effect. RCT faculty may not participate in or vote on tenure track P&T decisions.

Departments with a regular research track (RRT) should define research faculty and should address what titles they will be given and what appointment cap is in effect. RRT faculty may not participate in or vote on tenure track or clinical track P&T decisions.

1.5 ORGANIZATION OF DEPARTMENT SERVICES AND STAFF

Revised: 08/26/04

Edited: 08/01/07

OAA recommends a description of department offices and staff and their functions in larger ones with many support personnel. This section may not be necessary in small units.

1.6 OVERVIEW OF DEPARTMENTAL ADMINISTRATION AND DECISION-MAKING

Revised: 08/26/04

Edited: 08/01/07

Include a statement on how department policy and program decisions are made.

1.6.1 CHAIR

Revised: 05/01/08

Edited: 05/01/08

Quote Faculty Rule 3335-3-35 (C) on responsibilities of the chair. State clearly those matters for which the chair has final authority. This is the only section where direct quotation of material available online is encouraged.

If the department has other administrative positions such as associate, assistant, or vice chairs, describe these positions in this section.

1.6.2 COMMITTEES

Revised: 08/04/09

Edited: 08/04/09

Departments should seek a committee structure that assures that the time faculty members spend in committee work is time well spent. There is no model that fits all, or even most, units. Considerations include the number of faculty in the unit (the fewer the faculty the greater the importance of a highly efficient committee structure), the complexity of the unit's programs, and the unit culture.

Faculty time is a limited commodity and should not be consumed with administrative tasks that could be accomplished reasonably in other ways. The number of committees, their size, and their intensity of effort should be consistent with the size of the department (fewer faculty, fewer and smaller committees) and handled with good judgment regarding faculty input on the various types of business to be conducted.

Describe the unit's standing committee structure including the responsibilities of each committee, who the members are and how they are selected. State under what circumstances ad hoc committees will be formed and how they will be formed.

Departments are required to have a P&T committee made up of the unit's associate and full professors. In units with RCT faculty, associate and full professors in the clinical track may participate on P&T committees when reviewing faculty in the clinical and research tracks but not in the tenure track. **A tenured faculty member who holds a joint appointment may only participate on the P&T committee in the department where his/her tenure resides.**

Units are strongly advised to have a committee that can review grievances.

An increasing number of larger departments have an executive committee or faculty advisory committee, the purpose of which is to provide an efficient source of advice and consultation to the chair on a broad array of matters. Effective use of such a committee can reduce the need for single function standing committees. Members may serve by virtue of position (associate chair or graduate studies chair), by appointment, by election, or a combination of these.

Most departments have a standing committee that focuses on undergraduate curriculum and related matters, a standing committee that focuses on graduate curriculum and related matters, and a standing committee that provides administrative service for P&T reviews. All other standing committees are specific to department needs. The chair typically appoints members to standing committees—in part to assure a fair distribution of service effort among faculty and in part to assure appropriate membership in terms of expertise, diversity, and other considerations.

Examples of committees across the university include committees on awards, curriculum, diversity, graduate admissions and recruitment, graduate studies, honors, salary, space, subfields, technology, and undergraduate studies.

Many functions occur irregularly and may be carried out by ad hoc committees. These include faculty searches and periodic curriculum review. The chair typically appoints members to ad hoc committees.

1.7 FACULTY MEETINGS

Revised: 08/04/09

Edited: 08/04/09

Cover how faculty meetings are scheduled, how faculty members are informed of meetings and how meeting agendas are established. Include what constitutes a quorum and what vote is required to approve those matters on which a vote is taken (see Section 3.1 in this chapter on quorum, voting, and abstentions). **Note that Faculty Rule 3335-5-18 requires that faculty meet at least once each quarter or semester of the academic year.**

1.8 DEPARTMENT FACULTY TEACHING LOAD POLICY

Revised: 08/26/04

Edited: 08/01/07

Include the OAA required policy and guidelines on faculty teaching workload (see Chapter 2, Section 1.4.2 of this volume). The POA should refer the reader to the OAA policy and include the unit's supplemental policies if applicable.

1.9 POLICY ON FACULTY DUTIES AND RESPONSIBILITIES

Revised: 05/01/08

Edited: 05/01/08

Include the OAA required policy and guidelines on faculty duties and responsibilities (see Chapter 2, Section 1.4.1 of this volume). The POA should refer the reader to the OAA policy and include the unit's supplemental policies if applicable.

Include department expectations regarding faculty office hours.

1.10 COURSE OFFERINGS AND TEACHING SCHEDULES

Revised: 08/26/04

Edited: 08/01/07

Describe how the unit's course offering schedule (see Volume 1, Chapter 2, Section 1.5) and faculty teaching schedule is developed (see Chapter 2, Section 1.4.2 of this volume) The POA should refer the reader to the OAA policy and include the unit's supplemental policies if applicable.

1.11 ALLOCATION OF DEPARTMENTAL RESOURCES

Revised: 08/26/04

Edited: 08/01/07

Describe any department policies with respect to travel funds, space assignments, and other resources other than merit salary increases, which are discussed in the appointments, promotion, and tenure (APT) document.

1.12 LEAVES AND ABSENCES

Revised: 05/01/08

Edited: 05/01/08

Describe any department policies that supplement college and university policies with regard to how leaves are considered and approved, and how absences from duty are handled:

- Faculty Professional Leave (FPL)
- Special Research Assignment (SRA)
- Unpaid Leave of Absence (LOA)
- Entrepreneurial Leave of Absence
- "Tenure Clock": Exclusion of Time from the Probationary Period
- Extension of the Probationary Period for Part-Time Tenure Track Faculty

If the department has no supplemental policies, this section must at least list each topic and direct the reader to Volume 2, Chapter 1 in the OAA [Policies and Procedures Handbook](#) and include the handbook's web address.

The BOT requires that every college and department have formal criteria and procedures for reviewing the merits of proposals for faculty professional leave submitted from faculty within their units.

1.13 SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY

Revised: 08/26/04

Edited: 08/01/07

Describe any department policies that supplement college and university policies with respect to the circumstances under which supplemental compensation for university work will be considered and external professional service activities will be approved.

University policies represent upper limits on what is possible and individual departments are encouraged to consider whether amendments to these are appropriate to their circumstances.

If the department has no supplemental policies, this section must at least list each topic and direct the reader to Volume 2, Chapter 1 in the Handbook and include the Handbook's web address.

1.14 FINANCIAL CONFLICTS OF INTEREST

Revised: 08/26/04

Edited: 08/04/09

Describe any department policies that supplement college and university policies with respect to reporting and managing potential financial conflicts of interest.

If the unit has no supplemental policies, this section must at least list each topic and direct the reader to [the Senate policies on the OAA website \(http://oaa.osu.edu/SenatePolicies.php\)](http://oaa.osu.edu/SenatePolicies.php).

1.15 GRIEVANCE PROCEDURES

Revised: 08/04/09

Edited: 08/04/09

Describe the department's mechanism for reviewing faculty, staff, and student grievances. [This includes salary grievance procedures.](#) If the department does not have such mechanisms, it should establish them. This section should include references, including web addresses to:

- OHR Policy 1.10, Nondiscrimination policy (www.hr.osu.edu/policy/index.aspx)
- OHR Policy 1.15, Sexual harassment policy (www.hr.osu.edu/policy/index.aspx)
- anonymous reporting line (https://secure.ethicspoint.com/domain/en/report_custom.asp?clientid=7689)
- hearing procedures for complaints against faculty, Faculty Rule 3335-5-04 (www.trustees.osu.edu/ChapIndex/index.php)
- [Code of Student Conduct \(www.trustees.osu.edu/Rules%2023/index.php\)](http://www.trustees.osu.edu/Rules%2023/index.php)

Tenure appeals procedures should be covered in the department's APT document.

2.0 APPOINTMENTS, PROMOTION & TENURE DOCUMENT

Revised: 03/25/05

Edited: 08/01/07

2.0.1 REQUIREMENTS

Revised: 08/01/07

Edited: 05/01/08

Faculty Rule 3335-6-02 and Faculty Rule 3335-3-35 requires that every TIU have an APT document describing the criteria and procedures for making recommendations regarding the appointment, advancement, and reward of faculty. This document is crucial to establishing and upholding the quality of the unit's academic endeavors. Development or revision of the document provides an opportunity for the TIU to consider:

- its mission in the context of college and university missions
- the quality of its programs and its standing among comparable units in peer institutions
- how the mission and program quality affect faculty appointments, advancement, and reward

The document should communicate department goals in a way that is clear both within and beyond the department and should state explicitly the qualities sought by the department in new faculty and the expectations held for appointed faculty.

The unit APT document must:

- be reviewed and either reaffirmed or revised during the first year of a TIU head's appointment or reappointment
- be approved by the dean and OAA
- follow the required outline exactly

Because a common format is needed to facilitate reference to APT documents by P&T reviewing bodies, follow the required outline exactly as presented. Units do not have the option of modifying this outline.

Refer to and be consistent with the Rules of the University Faculty. It is inadvisable to quote rules extensively, however, since such passages will not reflect later revisions. In place of quoted material, provide the address of the web site of the BOT, Rules of the University Faculty (www.trustees.osu.edu/ChapIndex/index.php) and the rule number.

Include current references to all university titles, rules, policies, offices and entities. All such references must be checked during the required governance document review in the first year of a TIU head's appointment or reappointment. See Section 3.0 of this chapter on updating obsolete material in TIU governance documents for a summary of commonly found obsolete references that must be corrected before the document is submitted for review.

Date the first page, include a table of contents, and paginate the APT document. In order to promote consistency across the university, follow the university's editorial style guide at www.osu.edu/resources/styleguide.php. OAA encourages units to make their APT documents available on their websites.

A prototype APT document can be found in the section on prototype documents. To the extent possible, the prototype provides actual content and language that could be adopted in its present form, or modified to better suit the particular needs of a unit. The suggested content and language are based on university rules and policies as well as on common practices that work well for many units. While OAA encourages TIU heads to follow the prototype APT document whenever possible, OAA acknowledges that wholesale adoption of the prototype is inconsistent with each unit's need for a thoughtfully crafted and clear document that is specific to its discipline and supports its unique mission.

Sections of italicized text in the prototype document are notes and comments; they should not appear in a department's APT document. Highlight deviations from and additions to this prototype document when submitting the draft document to OAA for approval. Also highlight changes to the current APT document.

2.0.2 COLLEGE APT DOCUMENTS

Revised: 08/01/07

Edited: 08/01/07

Faculty Rule 3335-6-02 requires each college to have an APT document.

OAA expects newly appointed or reappointed deans to complete the consultation process outlined in the current POA and to have in place a new or reaffirmed APT document that has been approved by OAA no later than the end of the academic year in which they were appointed or reappointed. The current APT document remains in effect until a new or reaffirmed one is approved by OAA.

College APT documents should describe, in qualitative terms, the college's criteria for appointments, promotion, and tenure within the context of the college's mission. The document should also describe the college's procedures for conducting college level reviews for P&T.

2.1 REQUIRED OUTLINE

Revised: 08/01/07

Edited: 05/01/08

This outline uses "department" as the example. Only include sections on faculty at a regional campus if your unit has regional campus faculty members. Only include sections on RCT and RRT faculty if your unit has an approved track.

Appointments, Promotion, and Tenure Criteria and Procedures for the Department of XXX

- I. Table of Contents
- II. Preamble
- III. Department Mission
- IV. Appointments
 - A. Criteria
 1. Regular tenure track faculty
 2. Regular tenure track faculty at regional campus
 3. Regular clinical track faculty
 4. Regular research track faculty
 5. Auxiliary faculty
 6. Courtesy appointments for regular faculty
 - B. Procedures
 1. Regular tenure track faculty
 2. Regular tenure track faculty at a regional campus
 3. Regular clinical track faculty
 4. Regular research track faculty
 5. Auxiliary faculty
 6. Courtesy appointments for regular faculty
- V. Annual Review Procedures
 - A. Probationary tenure track faculty
 1. Faculty at a regional campus
 2. Fourth-Year Review
 3. Exclusion of time from probationary period
 - B. Tenured faculty
 - C. Tenured faculty at a regional campus
 - D. Regular clinical faculty

- E. Regular research track faculty
- VI. Merit salary increases and other rewards
 - A. Criteria
 - B. Procedures
 - C. Documentation
- VII. Promotion and Tenure and Promotion reviews
 - A. Criteria
 - 1. Promotion to associate professor with tenure
 - 2. Promotion to professor
 - 3. Faculty at a regional campus
 - 4. Promotion of regular clinical track faculty
 - 5. Promotion of regular research track faculty
 - B. Procedures
 - 1. Regular tenure track faculty
 - 2. Regular tenure track faculty at a regional campus
 - 3. Regular clinical track faculty
 - 4. Regular research track faculty
 - 5. Auxiliary faculty
 - 6. Courtesy appointments
 - C. Documentation
 - 1. Teaching
 - 2. Scholarship
 - 3. Service
- VIII. Appeals
- IX. Seventh-Year Review
- X. Appendices

2.2 PREAMBLE

Revised: 03/25/05

Edited: 08/01/07

Explain the document's purpose and its relationship to other documents that contain P&T policies and procedures.

2.3 DEPARTMENT MISSION

Revised: 03/25/05

Edited: 08/01/07

The unit's academic mission statement should:

- identify the audiences of the unit's teaching, research, and service
- explain how these audiences affect the nature of its teaching, research and service
- establish the relative importance of the various kinds of faculty effort in the context of the mission

As part of its mission the unit should set the goal of increasing the quality of its endeavors. In addition, the unit should assure that its policy on faculty duties and responsibilities (see Chapter 2, Section 1.4.1 of this volume) included in its POA is consistent with its mission and its criteria for appointments, promotion, and tenure and for merit salary increases and other rewards.

2.4 APPOINTMENTS

Revised: 03/25/05

Edited: 08/01/07

2.4.1 CRITERIA

Revised: 03/25/05

Edited: 08/01/07

See Volume 1, Chapter 3 for the definition and uses of faculty titles.

2.4.1.1 TENURE TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

This section should establish criteria for appointment at the rank of assistant professor. Criteria for appointment at higher ranks should be consistent with the criteria for promotion to those ranks established in this APT document.

The unit is encouraged to commit itself to making only faculty appointments that enhance or have strong potential to enhance the quality of the unit. Refer to Faculty Rule 3335-6-02 regarding criteria for appointment, reappointment, and promotion and tenure, and to Faculty Rule 3335-6-03 regarding probationary service and duration of appointments for regular tenure track (RTT) faculty.

2.4.1.2 TENURE TRACK FACULTY AT A REGIONAL CAMPUS

Revised: 03/25/05

Edited: 08/01/07

Criteria for appointment at each rank should reflect the greater relative importance of teaching on the regional campus compared to research.

2.4.1.3 REGULAR CLINICAL TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

This section and all subsequent sections pertaining to RCT faculty are relevant only to academic units authorized to make such appointments (see Faculty Rule 3335-7).

This section should establish criteria for appointment at the rank of instructor and assistant professor. Criteria for appointment at higher ranks should be consistent with the criteria for promotion to those ranks established in this APT document.

The suggested appointment criteria included in the prototype document are somewhat generic since the nature of RCT appointments varies according to the mission of the unit. The unit should strive for an equivalent or greater level of detail in adapting the suggested content to its particular needs. For each rank, the document should spell out the required practice criteria, such as:

- required licensure/certification
- teaching experience related to the teaching areas to be assigned
- meeting the promotion criteria to each rank

2.4.1.4 REGULAR RESEARCH TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

This section and all subsequent sections pertaining to RRT faculty are relevant only to academic units authorized to make such appointments (see Faculty Rule 3335-7).

This section should establish criteria for appointment at the rank of assistant professor. Criteria for appointment at higher ranks should be consistent with the criteria for promotion to those ranks established in this APT document.

2.4.1.5 AUXILIARY FACULTY

Revised: 05/01/08

Edited: 08/04/09

This section should establish criteria for appointment and reappointment of compensated and uncompensated auxiliary faculty, with criteria for appointment at each rank comparable to the criteria for the RTT or RCT ranks. These criteria will also serve as a basis for evaluating the occasional auxiliary faculty member who desires promotion. Auxiliary appointments may be made for only one year at a time and thus require formal annual renewal if they are to be continued. Visiting faculty appointments may be renewed for only three consecutive years.

Units should establish guidelines for the circumstances in which auxiliary faculty may identify themselves as Ohio State faculty.

Definitions and policies for auxiliary faculty can be found in Faculty Rule 3335-5-19.

Promotion procedures for auxiliary faculty can be found in Volume 3, on guidelines, procedures and dossier outline.

The types of auxiliary appointments are as follows (also see <http://oaa.osu.edu/documents/FacultyRankTitleCode.pdf> for a chart on types of faculty appointments):

- clinical titles (compensated or uncompensated)—providers of clinical teaching and patient care in the health sciences
 - clinical instructor, clinical assistant professor, clinical associate professor, clinical professor
- regular titles 1-49% (compensated)
 - instructor, assistant professor, associate professor, professor
- regular titles 0% (uncompensated)
 - instructor, assistant professor, associate professor, professor
- visiting titles (compensated or uncompensated)—temporary faculty and persons on leave from other academic institutions
 - visiting instructor, visiting assistant professor, visiting associate professor, visiting professor
- adjunct titles (compensated and uncompensated)
 - adjunct instructor, adjunct assistant professor, adjunct associate professor, adjunct professor
- lecturer and senior lecturer (compensated)

Uncompensated auxiliary appointments are appropriate only for individuals who provide substantial service to the academic mission of the appointing unit. Units should establish guidelines for the circumstances in which such auxiliary faculty may identify themselves as Ohio State faculty. Abuses of auxiliary faculty titles occur.

2.4.1.6 COURTESY APPOINTMENTS FOR REGULAR FACULTY

Revised: 03/25/05

Edited: 08/01/07

This section should establish criteria for making and continuing courtesy appointments.

Courtesy appointments are warranted only if they are accompanied by substantial involvement in the academic work of the department. Criteria should include the expectations for such involvement. Unlike auxiliary appointments,

courtesy appointments do not require formal annual renewal, but continuation of the appointment should reflect ongoing involvement.

2.4.2 PROCEDURES

Revised: 03/25/05

Edited: 08/01/07

2.4.2.1 REGULAR TENURE TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

OAA requires a national search to ensure a diverse pool of highly qualified candidates. Requests for exceptions to this policy must be submitted to OAA. Search procedures must entail substantial faculty involvement and be consistent with university policies as set forth in the OHR Guide to Effective Searches (<http://hr.osu.edu/hrpubs/guidesearches.pdf>).

Appointments at senior rank in the RTT, RCT, and RRT require prior approval by the college dean and OAA.

Appointments at junior rank with prior service credit require prior approval by the college dean and OAA.

The required documentation for appointments at senior rank and junior appointments with prior service credit can be found in Volume 1, Chapter 5, Section 2.0.

2.4.2.2 REGULAR TENURE TRACK FACULTY AT A REGIONAL CAMPUS

Revised: 03/25/05

Edited: 05/01/08

The regional campus has primary responsibility for determining the position description for a faculty search, but it should consult with, and reach agreement on, the description with the chair of the department that will serve as the TIU for the appointee. The search committee for the position should include representation from both the regional campus and the prospective TIU.

Candidates should be interviewed by, at a minimum, the regional campus dean/director, the TIU head, and either the search committee or broader representation of both faculties. A hiring decision requires agreement on the part of the TIU head and regional campus dean/director. Negotiations with a candidate should not begin without such agreement, and the letter of offer must be signed both by the TIU head and the regional campus dean.

2.4.2.3 REGULAR CLINICAL TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

If the unit is authorized to have RCT faculty, this section should establish the procedures for appointment of such faculty.

2.4.2.4 REGULAR RESEARCH TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

If the unit has voted to have RRT faculty, this section should establish the procedures for appointment of such faculty.

2.4.2.5 AUXILIARY FACULTY

Revised: 03/25/05

Edited: 08/01/07

Describe how the decision is made to initiate or not to renew an auxiliary appointment.

2.4.2.6 COURTESY APPOINTMENTS FOR REGULAR FACULTY

Revised: 03/25/05

Edited: 08/01/07

State how the decision is made to initiate and terminate a courtesy appointment for a faculty member from another TIU.

2.5 ANNUAL REVIEWS PROCEDURES

Revised: 08/04/09

Edited: 08/04/09

Explain the procedures for the annual review of each category of faculty found in the department. Every faculty member must have an annual performance review that includes a scheduled opportunity to hold a face-to-face meeting with the chair or the chair's designee.

The means for carrying out the review will vary according to the APT document and the traditions of the various fields within the unit.

2.5.1 PROBATIONARY REGULAR TENURE TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

Refer to Faculty Rule 3335-6-03 on probationary service and duration of appointments for RTT faculty. The procedures for faculty participation in the annual review of probationary tenure track faculty should be described in this section, including provision for handling differing assessments by the unit faculty and the chair. Such differences should be resolved so that conflicting advice is not offered to a probationary faculty member.

If the unit provides for a faculty vote on reappointment of probationary faculty, the quorum needed for a vote and the vote required for a positive recommendation should be stated here. A nonrenewal recommendation during the first-, second-, third- or fifth-year review must result from application of Fourth-Year Review procedures.

See Volume 2, Chapter 3 for OAA guidelines on the annual review process of probationary tenure track faculty.

2.5.1.1 PROBATIONARY REGULAR TENURE TRACK FACULTY AT A REGIONAL CAMPUS

Revised: 03/25/05

Edited: 08/01/07

See Volume 2, Chapter 3 for OAA guidelines on the annual review process of probationary tenure track faculty.

2.5.1.2 FOURTH-YEAR REVIEW

Revised: 03/25/05

Edited: 08/01/07

See Volume 2, Chapter 3 for OAA guidelines on the Fourth-Year Review process of probationary tenure track faculty.

2.5.1.3 EXCLUSION OF TIME FROM THE PROBATIONARY PERIOD

Revised: 03/25/05

Edited: 08/01/07

See Volume 2, Chapter 1, Section 5.0 for OAA guidelines on the exclusion of time from the probationary period of probationary tenure track faculty.

2.5.2 REGULAR TENURED FACULTY

Revised: 03/25/05

Edited: 08/01/07

See Chapter 6 for OAA guidelines on the review of tenured faculty.

2.5.3 REGULAR TENURED FACULTY AT A REGIONAL CAMPUS

Revised: 03/25/05

Edited: 08/01/07

See Volume 2, Chapter 2 for OAA guidelines on the review of tenured faculty at a regional campus.

2.5.4 REGULAR CLINICAL TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

See Volume 2, Chapter 2 for OAA guidelines on the review of RCT faculty.

2.5.5 REGULAR RESEARCH TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

See Volume 2, Chapter 2 for OAA guidelines on the review of RRT faculty.

2.5.6 AUXILIARY FACULTY

Revised: 03/25/05

Edited: 08/01/07

See Volume 3, Section 6.0 for OAA guidelines on the review of auxiliary faculty.

2.6 MERIT SALARY INCREASES AND OTHER REWARDS

Revised: 03/25/05

Edited: 08/01/07

2.6.1 CRITERIA

Revised: 03/25/05

Edited: 05/01/08

Clearly state the criteria for salary increases and any other performance-based rewards (see Volume 1, Chapter 5).

2.6.2 PROCEDURES

Revised: 03/25/05

Edited: 08/01/07

State the procedures for determining salary recommendations and recommendations for other rewards.

2.6.3 DOCUMENTATION

Revised: 03/25/05

Edited: 08/01/07

It is essential that the unit require adequate documentation of faculty performance in teaching, scholarship, and service. This section should list the documents that faculty must submit for annual reviews and consideration for salary increases, but should not provide detail about how the unit evaluates various aspects of performance. Such content belongs under “Documentation” in the following section, unless the content differs from the way in which performance is evaluated in promotion & tenure and promotion reviews.

2.7 PROMOTION AND TENURE AND PROMOTION REVIEWS

Revised: 03/25/05

Edited: 08/01/07

2.7.1 CRITERIA

Revised: 03/25/05

Edited: 05/01/08

Criteria are general statements about the quality of performance in teaching, research and service expected for promotion and tenure or promotion. Teaching, research and service are not in themselves criteria, nor are teaching evaluations or publications. A list of evidence to be examined belongs under “Documentation” below.

Although criteria will vary both according to unit mission and the specific responsibilities of each faculty member, every candidate should be held to a standard of excellence in all aspects of performance. The pattern of performance over the probationary period should yield a high degree of confidence that the candidate will continue to develop professionally.

Above all, candidates should be held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching should be required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities. Units may also, if they wish, define excellence in teaching, research, and service to include professional ethical conduct consistent with the American Association of University Professors' Statement on Professional Ethics

(www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm).

2.7.1.1 CITIZENSHIP, COLLEGIALITY, AND PROFESSIONAL ETHICAL BEHAVIOR

Revised: 07/26/04

Edited: 05/01/08

Citizenship, collegiality, or professional ethical behavior may not be established as a fourth criterion in P&T reviews independent of teaching, research, and service. On request of the Senate Rules Committee, in May 2000, OAA communicated that the Faculty Rules provide solely for review of teaching, research and service in P&T reviews. Review bodies may consider collegiality and professional ethical behavior in the context of evaluating the three main areas of activity, but may not use that issue as an independent category.

2.7.1.2 PROMOTION TO ASSOCIATE PROFESSOR WITH TENURE

Revised: 03/25/05

Edited: 08/01/07

See Faculty Rule 3335-6-02 (B) and (D). Note that according to this rule tenure will not be awarded below the rank of associate professor. The unit should establish and exercise very high standards for the awarding of tenure since a positive tenure decision has a powerful impact on the quality and future of the unit.

2.7.1.3 PROMOTION TO PROFESSOR

Revised: 08/04/09

Edited: 08/04/09

See Faculty Rule 3335-6-02 (C). A faculty member ready for promotion to professor should be a role model for faculty, students, and for the profession. While assessment should take place in relation to specific assigned responsibilities, exceptional performance in these responsibilities should be required. Promotion standards should also reflect the reality that (a) not all faculty members will be able to contribute excellence in all evaluation dimensions and (b) there is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively.

2.7.1.4 REGIONAL CAMPUS FACULTY

Revised: 03/25/05

Edited: 08/01/07

Units with regional campus faculty must state the criteria for their promotion to associate professor with tenure and for their promotion to professor. Criteria for regional campus faculty should be developed in consultation with the unit's regional campus faculty and the deans of the regional campuses. These criteria must reflect the following considerations:

- The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities.
- Regional campus faculty are expected to establish a program of high-quality scholarly activity, but the character and quantity of that activity may differ from that of Columbus campus faculty because of the weight of other responsibilities and because of lack of access to comparable resources (regional campus faculty do not have graduate teaching associates to assist them in their teaching or generally have access to research facilities comparable to those of Columbus-based faculty).
- Teaching and service responsibilities of regional campus faculty are often more substantial than those of Columbus-based faculty.

2.7.1.5 REGULAR CLINICAL TRACK FACULTY

Revised: 03/25/05

Edited: 08/04/09

Because RCT faculty may be hired at the rank of instructor, this section should describe the criteria for promotion to assistant professor, associate professor, and professor of clinical [department name]. These criteria should reflect the fact that RCT faculty members are primarily engaged in patient care or professional practices and clinical instruction. Any expectations for scholarly work should be substantively different from those for RTT faculty.

The suggested promotion criteria in the prototype APT document are somewhat generic since the nature of RCT appointments varies according to the mission of the unit. The unit should strive for an equivalent or greater level of detail in adapting the suggested content to its particular needs. For each rank, the document should spell out the required practice criteria, such as:

- required licensure/certification
- teaching experience related to the teaching areas to be assigned
- meeting the promotion criteria to each rank

2.7.1.6 REGULAR RESEARCH TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

Because the entry rank at which RRT faculty may be hired is assistant professor, this section should describe the criteria for promotion to research associate professor and research professor. These criteria should reflect the fact that RRT faculty members are primarily engaged in research.

2.7.2 PROCEDURES

Revised: 03/25/05

Edited: 08/01/07

The unit's procedures for promotion & tenure and promotion reviews must be consistent with those set forth in Faculty Rule 3335-6-04. This rule provides general information but does not delineate all aspects of the review process. Listed below are unit-specific issues that should be addressed in this section to supplement Faculty Rule 3335-6-04.

Whatever the unit's procedures, they should assure a thorough and critical review. A unit that conceptualizes a review as advocacy of the candidate, as building rather than evaluating a case, is not acting in its own best interests. Advocacy of a weak candidate not only sends an unfavorable message about the unit to higher level review bodies but, if successful, may in the long term be detrimental to the unit.

2.7.2.1 REGIONAL CAMPUS FACULTY

Revised: 03/25/05

Edited: 08/01/07

The TIU's procedures for deciding when to review tenured faculty members for promotion are to be applied to tenured regional campus faculty.

Regional campus faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The regional campus review focuses on teaching and service. The regional campus dean forwards the report and recommendation of the regional campus review to the TIU head, from which point the review follows the same course as all P&T reviews.

2.7.2.2 NON-MANDATORY REVIEWS

Revised: 03/25/05

Edited: 05/01/08

This section covers how the unit will determine which faculty members to review for promotion in rank or for non-mandatory promotion and tenure. Screening reviews are encouraged since premature reviews are costly in many ways and should be avoided. Faculty Rule 3335-6-04 (A) (3) states that a unit may establish screening procedures with the limitation that a tenured faculty member who wants to be reviewed cannot be denied consideration for promotion for more than three consecutive years.

2.7.2.3 CONFLICT OF INTEREST

Revised: 03/25/05

Edited: 05/01/08

This section covers how the unit will determine when a faculty member should not participate in a particular review because of a conflict of interest. At a minimum, faculty with a familial or comparable relationship with a candidate should not participate in a review of that candidate. In addition, a close professional relationship may give rise to a conflict of interest, such as when the faculty member is co-author on a significant portion of the candidate's publications, has served as the candidate's dissertation advisor, or is dependent in some way on the candidate's professional services.

Include in this section which administrator or body (the TIU head or P&T committee chair) will be authorized to remove from the review a faculty member with a conflict of interest, when the faculty member refuses to withdraw voluntarily.

2.7.2.4 EXTERNAL EVALUATION

Revised: 03/25/05

Edited: 05/01/08

Describe how a slate of potential evaluators is determined, who is responsible for contacting them, and the timetable for requesting external evaluations. Include what aspects of performance these persons are asked to evaluate and what materials are provided to them. See Volume 3, for advice on these matters.

If the candidate is asked to provide names of external evaluators, the number of names suggested by the candidate should be restricted to three or four to avoid limiting the number of credible evaluators available to be suggested by others.

2.7.2.5 MECHANICS

Revised: 08/04/09

Edited: 08/04/09

Describe the roles of the candidate, the P&T committee (if the committee is not composed of all of the eligible faculty), the eligible faculty, and the TIU head. It also states what proportion of eligible faculty must vote positively on a case for the faculty recommendation to be considered positive.

A P&T committee that is not a committee of all eligible faculty members does not vote on or otherwise make recommendations on cases.

Specify a minimum percentage of eligible faculty (OAA suggests 2/3) who must vote in order for a vote to be valid. OAA also suggests that there be a minimum of three faculty members involved in any P&T vote, including votes on promotion to full professor. A vote is defined as a "yes" or "no" vote—abstentions are not votes, according to Robert's Rules of Order. See Section 3.1 in this chapter on quorum, voting, and abstentions.

To permit faculty who did not attend the discussion of a particular case to vote on that case is inconsistent with the requirement that such a discussion be held. The presumption is that the meeting to discuss a case is important to deciding the matter. Faculty members who are not present cannot vote *in absentia* unless they participate by conference call or video link.

OAA interprets the definition of eligible faculty found in faculty rule (3335-6-05 (B)(1)) to mean faculty members who are tenured in the department in which tenure is being considered. A tenured faculty member who holds a joint appointment is only a member of the eligible faculty in the department where his/her tenure resides. Such a faculty member may vote in cases in another unit on an ad-hoc basis (e.g. if needed to establish a quorum). OAA encourages units with large numbers of joint appointments to consider an alternate method for seeking input on P&T decisions from regular faculty who are appointed into but not tenured in the unit.

Include the approximate timing for each stage of the review and who is responsible for verifying the accuracy of citations and other aspects of candidates' dossiers.

2.7.3 DOCUMENTATION

Revised: 03/25/05

Edited: 08/01/07

Describe in detail the specific documentation that will be examined in assessing performance. This documentation will vary according to the field of study and the unit's mission. The OAA core dossier outline (See Volume 3) serves as a basic standard for documentation, but the unit is not limited to assessing the stated items.

The unit may weigh forms of documentation differentially as appropriate to its mission and to the responsibilities of the candidate. While some possible forms of documentation are described below under the headings of teaching, scholarship, and service, these headings are not intended to define teaching, scholarship, and service. In some fields of study or in some instances, an item listed in one area may be considered a reflection of performance in another area.

2.7.3.1 TEACHING

Revised: 03/25/05

Edited: 08/04/09

OAA requires evaluation of instruction in all courses and by all faculty members. The faculty is responsible for the evaluation of instruction, to be carried out on a regular basis and in a systematic manner to be determined by each TIU, subject to the approval of the dean of the college. Moreover, the evaluation of university teaching should be a comprehensive, integrated process that includes collection of data from students, peers, administrators, and the faculty members themselves. These data are interpreted with the understanding that both university instruction and its evaluation entail professional judgments according to expectations of the TIU.

2.7.3.1.1 PEER EVALUATION OF TEACHING

Revised: 03/25/05

Edited: 08/04/09

Peer review of teaching aims to apply appropriate disciplinary (peer) standards to the teaching performance of faculty members. TIUs should provide opportunities for and mechanisms that support both formative and summative evaluation of teaching. The TIU must set forth detailed guidelines for peer evaluation of teaching to be used in faculty performance reviews that is appropriate for the unit's instructional situation(s).

Peer evaluation should focus on those aspects of teaching that students cannot evaluate, such as appropriateness of curricular choices given the goals of the course (survey, major required course), implicit and explicit goals of instruction, choice of examination/evaluation materials by the faculty member, and consistency with current disciplinary knowledge. Assessment of these aspects can be made by peers within the unit or external reviewers as determined by procedures established by the TIU.

TIUs may select from among many modalities of peer review. See the [University Center for the Advancement of Teaching's \(UCAT\) website \(www.ucat.osu.edu/\)](http://www.ucat.osu.edu/) for links to on-line resources at Ohio State and at other institutions, as well as published sources that offer principles and methods for the formative and summative evaluation of teaching. TIUs must not only establish rules governing evaluation of instruction but also abide by those rules, applying them evenly and without prejudice. For further discussion see Volume 1, Chapter 2, Section 1.4.

2.7.3.1.2 STUDENT EVALUATION OF TEACHING

Revised: 08/04/09

Edited: 08/04/09

Student evaluation is focused on students' perceptions of instruction, taking into account those factors shown by research to affect such response, including class size and whether the course was required or an elective in the student's program. The TIU must set forth a detailed plan for obtaining student evaluation information to be used in faculty performance reviews. Faculty must use a standard, objective, TIU-approved tool for student evaluation. As noted above, the TIU's selection of an assessment tool is subject to the approval of the dean of the college. This assessment tool may be generated by the unit, or, at the discretion of the unit's faculty, the Ohio State SEI may be used. For required components and further discussion see Volume 1, Chapter 2, Section 1.4.

Solicited letters from former students, and particularly from former graduate students, are not credible forms of evaluation of teaching. Given the fact that such letters are known to be public documents, it is not likely that a former student would risk retribution by saying anything critical about a faculty member.

Other methods of documenting and evaluating teaching include:

- the candidate's self-assessment and statement of plans and goals
- a summary of the candidate's portfolio on teaching, including documentation of formative evaluation
- assessment of the success of the candidate's **current and** former graduate students and post-docs
- the extent to which pedagogical materials developed by the candidate have been adopted by other faculty
- the extent to which the candidate is invited to provide expertise on teaching at Ohio State, in professional societies, or at other institutions
- teaching awards or other recognitions

2.7.3.2 RESEARCH AND SCHOLARSHIP

Revised: 03/25/05

Edited: 08/04/09

When the product of scholarship is primarily disseminated in the form of publications, documentation could include the measures of the quality of the publication outlets, internal evaluation of the candidate's work, and frequency with which the candidate's work is cited by others, if appropriate. External funding for research may be a form of

documentation of scholarship (aside from its importance in facilitating the conduct of research) when the review processes that lead to its receipt are measures of the quality of a faculty member's past and planned research.

When the product of scholarship is disseminated in other forms such as performances, works of art, inventions, computer programs, or digital media, the unit should describe the specific ways in which the quality of these works will be assessed.

External evaluations of scholarship are, of course, required. Units should nonetheless make every effort to assess the quality of a candidate's work from multiple approaches rather than rely solely on the external letters of evaluation. Not only does there seem to be growing difficulty in obtaining candid letters but total reliance on external evaluations is inappropriate, possibly leading to decisions that are inconsistent with departmental standards and expectations.

2.7.3.3 SERVICE

Revised: 03/25/05

Edited: 08/04/09

Activities generally considered to be service include:

- administrative work for the department, college, or university
- service to the profession such as leadership roles and editorial and reviewing activities
- application of professional expertise in service to the community (Community service not germane to a faculty member's professional expertise is not relevant to P&T reviews.)

Determine quality as well as quantity indicators of service roles. The quality of unit service will generally be known. Beyond the unit and external to the university, quality indicators of service would include election or appointment to leadership roles, other evidence that the candidate's services are sought rather than volunteered, and awards.

Depending on the nature of a candidate's service, it may be appropriate to obtain written evaluations from those who are in a position to evaluate specific contributions.

2.8 APPEALS

Revised: 03/25/05

Edited: 08/01/07

Faculty Rule 3335-6-05 (A) sets forth general criteria for appeals of negative P&T decisions and provides further detail on appeals alleging improper evaluation.

2.9 SEVENTH-YEAR REVIEW

Revised: 03/25/05

Edited: 08/01/07

Faculty Rule 3335-6-05 (B) sets forth the conditions of and procedures for a Seventh-Year Review for a faculty member denied tenure as a result of a sixth year review.

3.0 UPDATING OBSOLETE MATERIAL IN TIU GOVERNANCE DOCUMENTS

Revised: 08/01/07

Edited: 08/04/09

All university titles, rules, policies, offices and entities must be checked for currency during the required governance document review in the first year of a TIU head's appointment or reappointment.

Many POAs and APT documents that are submitted for approval contain obsolete material. Common examples of such material are summarized below so that units may make the needed corrections before forwarding their documents for review.

Now that all university rules and policies are available on the web, it is inadvisable for the governance documents to quote these extensively as such passages will not reflect later revisions to the material at the web site. In place of quoted material, the address of the web site should be provided.

For matters relating to Employee and Labor Relations, please contact OHR, Organization and Human Resource Consulting, (614) 292-2800. For specific contact information see, www.hr.osu.edu/ohrc/.

The current handbook: the web-based OAA Policies and Procedures Handbook - http://oaa.osu.edu/OAAP_PHandbook.php.

Do not cite material directly or indirectly from obsolete handbooks. The Faculty Handbook (last issued 1984) and Handbook for Deans, Directors and Chairs (last issued 1996) no longer exist. Most references can be replaced by references to the OAA Policies and Procedures Handbook or to the Rules of the University Faculty.

Rule number changes approved at the BOT 7/9/04 meeting:

- Faculty Rule 3335-47 is now 3335-6
- Faculty Rule 3335-48 is now 3335-7

Faculty Rule 3335-3-35 (C) (3) sets forth responsibilities of chairs. The amended rule includes the TIU head's responsibility to inform faculty members in their annual review letters of their right to review their personnel file. Most POAs that quote this rule lack this provision.

Faculty Rule 3335-5-05 (A) (1) sets forth procedures for appeal of a negative P&T decision. The amended rule eliminates the requirement that a faculty member attempt to resolve an appeal informally at the local level before taking the appeal to the Committee on Academic Freedom and Responsibility. Any content in the appeals section of an APT document that cites the abolished requirement and/or describes a local appeals process intended to meet that requirement must be deleted immediately so that faculty members are not advised incorrectly about how to proceed with appeals in the coming year.

Faculty Rule 3335-6-03 (C) (2) sets forth procedures for nonrenewal of a probationary faculty appointment. The amended rule requires that nonrenewal of a probationary appointment result from application of Fourth-Year Review procedures. Many APT documents approved prior to this amendment are inconsistent with the new requirement, creating the risk of improper procedure if nonrenewal is considered during the first, second, third, or fifth year of a probationary appointment.

Faculty Rule 3335-5-19 no longer requires 10 years of continuous service for a faculty member to be eligible for emeritus status. Units whose governance documents cite this requirement should delete it.

Faculty Rule 3338-6-03 (H) on the exclusion of time from probationary periods has been changed. A year is automatically excluded for the birth of a child or adoption of a child over age six. The maximum number of years that may be excluded from a probationary period increased from two to three.

Many governance documents incorrectly refer to the provost's **full** title. The correct title is Executive Vice President and Provost.

The College of Medicine and Public Health is now two separate colleges, the College of Medicine and the College of Public Health.

The Colleges of Education and Human Ecology are now one single college, the College of Education and Human Ecology.

3.1 QUORUM, VOTING, AND ABSTENTIONS

Revised: 08/04/09

Edited: 08/04/09

Often there is confusion surrounding quorum, voting, and abstentions. This section has definitions and examples to clarify various ways to approach decision making through a vote.

Quorum is the required number of members present at a meeting for official action to occur. This includes taking a vote. Quorum can vary depending on the size and nature of the body. Most bodies require a majority present to conduct business. Others require a super-majority, typically two-thirds, while others require less than a majority such as 20% or 25%. OAA recommends that departments require a quorum of two-thirds—with a base minimum of three voting faculty members present—for action on P&T cases. In smaller units, faculty from another TIU within the college may be appointed on an ad-hoc basis to provide the minimum required in, for example, a promotion vote to full professor.

An abstention indicates that an individual does not wish to go on the record with a position. As such abstentions are not counted. When calling for a voice vote, the chair should not call for abstentions since this would force the individual to go on record. In paper balloting, a blank ballot, a ballot with “abstain” written on it, and a ballot that is not returned are all the same. Only votes that are cast (aye/nay, yes/no, for/against) are counted.

Robert’s Rules notes several majority requirements for approving an action.

Majority: Approval requires at least more than half of the votes cast to vote in the affirmative.

Two-thirds majority: Approval requires at least two-thirds of the votes cast to vote in the affirmative.

Two-thirds of the members present: Approval requires at least two-thirds of the members present at the meeting to vote in the affirmative.

Two-thirds of the members: Approval requires at least two-thirds of the entire membership, present at the meeting or not, to vote in the affirmative. This type of vote can usually only be administered through paper or electronic ballots.

Here are examples based on a membership of 100, only a quorum in attendance, and five abstentions. The table indicates the fewest number of votes needed for approving a motion.

Quorum	25%	Majority	2/3
# to attain quorum	25	51	67
Majority	11	24	32
2/3 Vote	14	31	42
2/3 of members present	17	34	45
2/3 of members	67	67	67

CHAPTER 2 UNIT ADMINISTRATION

1.0 TENURE INITIATING UNIT

Revised: 07/26/04

Edited: 08/01/07

The concept of the TIU is described in Faculty Rule 3335-6-06. Characteristics of departments and schools are described in Faculty Rule 3335-3-34. Each RTT faculty member, including those with multiple appointments, has a tenure home in a single unit, (department, school, division, or in the case of colleges without departments, college).

Multiple faculty appointments totaling 50% or more of service to the university shall be considered to be the same as a single appointment of 50% or more for the purpose of determining eligibility for tenure of a RTT faculty member.

1.1 CHAIRS AND DIRECTORS (TIU HEADS)

Revised: 11/09/04

Edited: 05/01/08

The term of service and responsibilities of TIU heads (department chairs and school directors) is described in Faculty Rule 3335-3-35.

TIU heads are appointed by the college dean, subject to the formal approval of the provost, president, and the BOT.

The dean determines whether the appointee is to be drawn from the faculty within the unit, usually following an internal search; is to be selected following a national search; or is to be selected in some other way. The dean also appoints search committees for TIU heads.

Deans determine the terms of appointment in light of the needs of the TIU, circumstances of the person to be appointed, and any other relevant considerations including OAA compensation policies (see 3.3).

TIU heads are normally appointed for a four-year term. Mid-year appointments terminate at the end of the third full academic year of appointment. A shorter appointment period may occasionally be specified in special circumstances.

TIU heads must be members of the faculty of the unit they administer. TIU heads are subject to annual review and may be removed before the end of the appointment period.

For additional information on the review of principal administrative officials, see University Bylaws 3335-1-03 (S).

Letters of offer appointing or reappointing TIU heads, including interim and acting, require prior approval by OAA following approval by the college dean. All such appointments are forwarded to the BOT for final approval (except those for a period of less than 90 days).

Deans must include a curriculum vitae and other appropriate documentation (a review of the chair's strengths and weaknesses in the case of reappointment) with letters of offer or reappointment when submitting them to OAA for prior approval.

Appointment of an outside appointee to a senior rank requires approval by the college dean and OAA. See Chapter 5, Section 2.0 of this volume for a description of the required documentation for all appointments to a senior rank and the section on sample documents for the suggested language for a letter of offer including appointment to a senior rank.

Interim or acting TIU heads must be faculty members or emeritus faculty members from a TIU within the college.

Reappointments are effective on July 1 for 12-month appointees, and either on July 1 or October 1 for 9-month appointees, depending on whether there is a summer appointment at the beginning of the first year of the term of service. The July or October reappointment dates are used even if the first appointment as TIU head was on a mid-year date.

1.1.1 DEFINITIONS

Revised: 11/09/04

Edited: 08/01/07

Interim: formal replacement until a new person is hired; position is vacant.

Acting: stand-in for a person still in the position but on leave; position is filled.

1.2 ASSOCIATE, ASSISTANT, AND VICE CHAIRS AND DIRECTORS

Revised: 09/01/99

Edited: 08/01/07

TIU heads may appoint such associate, assistant, and vice chairs and directors as are needed to carry out the business of the department or school.

The TIU head determines the terms of appointment, subject to approval of the dean of the college. OAA suggests that individuals in faculty administrative positions serve on a year to year basis rather than having fixed terms of service.

1.3 DEPARTMENT STAFF

Revised: 09/01/99

Edited: 08/01/07

The TIU head is responsible for appointing, supervising, and evaluating the staff of the unit. This responsibility may be delegated in larger departments, but the TIU head is ultimately accountable for the matters covered in this section.

TIU heads can obtain information on staff hiring procedures from college fiscal officers and from Employment Services (292-9380). This information will not be covered here. The OHR home page may be found at: www.hr.osu.edu/.

1.4 DEPARTMENT FACULTY

Revised: 04/01/99

Edited: 08/01/07

1.4.1 DUTIES AND RESPONSIBILITIES

Revised: 08/04/09

Edited: 08/04/09

OAA requires departments, in cooperation with their colleges, to establish policies that describe the allocation of effort in the department as a whole (as opposed to that of individual faculty members).

Using the guidelines developed by the Regents' Advisory Committee as a basis for the university policy as well as college and departmental policy, the following range of teaching responsibilities applies to all colleges and departments whose missions include undergraduate students.

- Departments with active baccalaureate programs and no—or limited—activity in graduate programs should have a norm for teaching activities of at least 70% of the total departmental workload with the remainder devoted to other scholarly activities of research/creative activity and service.
- Departments with active baccalaureate and master's degree programs should have a norm for teaching activities that is at least 60% of the total departmental workload with the remainder devoted to research/creative activity, service and other professional activities consistent with the department's mission.
- Departments with active baccalaureate, masters, and doctoral programs should have a norm of at least 50% of the total departmental workload devoted to teaching. The remaining workload time should be devoted to sponsored and department funded research/creative activity, service, and other professional responsibilities consistent with the department's mission.

College and departmental policies should define the range and general expectations regarding teaching, scholarship and research, as well as service responsibilities in terms of the academic mission of the college and department.

Policies should provide for a differentiation of faculty roles and recognize the fact that different colleges within the university and different departments within each college have different missions, resulting in differing expectations for various colleges and departments.

Different colleges in the university have different missions, and there are differing expectations for the various departments within colleges. These expectations should be acknowledged by a college workload policy. It should recognize that departments within a college may have different, but equally valuable, missions and that faculty within departments may make different, but equally valuable, contributions to those missions.

The purpose of the workload policy for a department is to identify the relative emphasis to be placed on teaching, research, and service. Where appropriate, the departmental workload policy should place special emphasis on identifying the relative importance given to undergraduate instruction and to meeting the academic needs of undergraduate students.

The workload policy should include—but is not limited to—time in a formal classroom setting. In nearly all departments, the faculty commitment to teaching extends beyond the classroom to include a variety of learning activities, such as supervision of individual tutorial projects, formal advising, and informal supervision and advising on research projects and assignments.

Departmental policies should consider departmental expectations that result from the types, strengths and viability of the degree programs it offers, its research and other scholarly activities, the external funding it receives, and the service it offers. Workload policies should include statements of:

- overall workload expectations to ensure a balance of faculty time and effort spent in teaching, research, and service
 - The department chair is responsible for achieving this balance for the department through the assignment of duties to individual faculty.
- types and amounts of instruction needed to accomplish the teaching mission of the unit
 - Normally this will include an analysis of the likely numbers and types of courses/sections necessary to satisfy the demand for undergraduate general education, undergraduate major and graduate programs.
- expectations for research, scholarship, and creative activity by the faculty

The mission of the department will determine the relative balance of effort in teaching, research/creative activity, and service. OAA anticipates that there will be significant differences in the missions of many departments and, as a result, there will be differences among departments in the relative amounts of effort faculty spend in their teaching, research/creative activity, and service responsibilities. Within departments significant differences in the assignment of responsibilities to individual faculty members may exist, reflecting individual faculty strengths, interests, and abilities to contribute to the overall mission of the department. **These responsibilities should be articulated on an annual basis as part of the faculty review process.**

In establishing suggested ranges in departmental teaching, the department chair should focus on total teaching effort rather than on some of the more traditional measures of teaching workload such as number of courses, number of credit hours, or weighted student credit hours. The emphasis on effort is a more realistic approach to recognizing the complexity and diversity evident in undergraduate teaching. The effort required to teach an undergraduate course is related to a variety of factors (the number of students enrolled, the availability of instructional support staff, the nature of the material being taught, the number and type of assignments to be graded, the method of instructional delivery). A focus on the percentage of workload effort devoted to teaching should be general enough to include a variety of delivery systems, yet specific enough to ensure greater accountability by departments in meeting student instructional needs.

Part-time faculty members include those persons appointed to carry out instructional responsibilities dictated by enrollment demand or by the special needs of an academic unit. Because their primary responsibility is teaching, part-time faculty are not usually expected to engage in other university duties. The actual assignment of instructional responsibilities for a part-time faculty member will be determined by contractual agreement with the university.

All programs may not fit administratively into one of the above categories of departments. In such a case, the appropriate proportion of time to be devoted by the academic unit to teaching should be determined by the dean,

subject to approval of the provost. There may be departments that differ significantly from the above classification such as those that have graduate programs but no, or few, undergraduate ones, as may be the case in the health sciences (nursing, dentistry, medicine). Appropriate teaching responsibilities for such departments should be determined by the department chair in consultation with the college dean, subject to the approval of the provost.

See also Section 2.3 in Chapter 2 of Volume 2 for information on college faculty teaching workload policy.

1.4.1.1 TEACHING

Revised: 04/01/99

Edited: 08/01/07

For academic units in which formal course offerings are the primary mode of instruction, the policy on faculty duties and responsibilities must include an indication of the average, minimum, and maximum course load per year (in terms of either courses or credit hours).

In situations in which formal course offerings are not the primary mode of instruction (cooperative extension, clinical areas in the health sciences, and the libraries), a unit's policy may specify the average, minimum, and maximum percentage of time faculty are expected to devote to instructional activities or may describe expectations in some other appropriate way.

Optional content could include expectations with respect to numbers of undergraduate, graduate, and/or professional students advised, development of instructional materials, and/or other instructional activities of importance to a particular unit. In specifying formal course loads, units may also choose to distinguish type and level of course and course size.

1.4.1.2 RESEARCH AND SCHOLARSHIP

Revised: 04/01/99

Edited: 08/04/09

A unit's policy on faculty duties and responsibilities must include a statement describing the average level of scholarly productivity expected within a time frame appropriate to the discipline.

In departments in which seeking and obtaining external funding is customary, the policy should state the expectations for seeking and obtaining such funding.

The degree of specificity in all such statements will vary widely across disciplines. Since scholarly activity is self-generated rather than assigned, however, the language in this section should be sufficiently explicit to communicate expectations clearly and to provide a basis for adjusting duties and responsibilities in instruction and service in response to variations in the level of scholarly productivity.

1.4.1.3 SERVICE

Revised: 04/01/99

Edited: 08/01/07

A unit's policy on faculty duties and responsibilities must include a statement regarding expectations for faculty participation in department, college, university, and, for regional campus faculty, regional campus governance, and for participation in professional organizations, and professional consultation.

Many faculty members voluntarily take on a variety of professional activities that fall outside the department's policy on faculty duties and responsibilities. These activities often benefit the department or university and, to the extent possible, should be taken into account in considering a faculty member's total workload.

However, fairness to other faculty and the department's need to meet its programmatic obligations may become issues when a faculty member seeks relief from departmental obligations in order to devote considerable time to personal professional interests that may not contribute to departmental goals. The chair may decline to approve such requests when approval is not judged to be in the best interests of the department.

1.4.2 TEACHING WORKLOAD

Revised: 08/04/09

Edited: 08/04/09

Every department, college without departments, and regional campus must have a written policy for the equitable assignment and distribution of faculty duties and responsibilities. Faculty Rule 3335-3-35 requires that such a policy be a part of the academic unit's POA.

This policy does not constitute a contractual obligation. Fluctuations in demands and resources in the department (college, regional campus) and the individual circumstances of faculty members may warrant temporary deviations from the policy.

A unit's policy should address how variations in scholarly activity and formal classroom instruction will be balanced to assure a reasonably equitable distribution of responsibilities among faculty. Academic units that offer little or no formal classroom instruction should indicate how variations in scholarly activity and instructional activity, however measured, will be balanced. Additional detail is optional.

The chair is responsible for assuring that every faculty member has duties and responsibilities commensurate with his or her appointment and that departmental workload is distributed equitably among faculty. While faculty members are expected to exercise "self-determination" in conducting their research or other scholarly activity, the chair assigns teaching and in most cases departmental service.

In making these assignments the chair must balance the needs of the department with the preferences of the faculty member within the context of the department's policy on faculty duties and responsibilities described below.

During on-duty quarters 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 quarter. 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 **faculty** absence from campus for more than ten days (not necessarily ten contiguous days) during a quarter be approved by chair, dean, and provost.

1.4.3 EVALUATION OF INSTRUCTION

Revised: 04/16/02

Edited: 08/04/09

Without systematic forms of teaching assessment, there is little basis on which to evaluate either the quality of instruction or the performance of individual faculty members. TIUs should establish measurable criteria for evaluation of teaching. Criteria that are research-based and specific to the unit's teaching mission are most useful in faculty evaluation of teaching. The TIU's procedures and policies for peer evaluation and for student evaluation must be included in its APT document. The plan may be included in the documentation Section following P&T review procedures or may be attached to the APT document as an appendix.

See http://oaa.osu.edu/eval_teaching/index.html for links to on-line resources at Ohio State and at other institutions, as well as published sources, that offer principles and methods for the formative and summative evaluation of teaching. The material provided is intended to be helpful both to individual faculty planning to evaluate their teaching and to academic units developing statements on policy and procedures.

1.4.3.1 PEER EVALUATION

Revised: 04/16/02

Edited: 08/01/07

Successful peer review entails a commitment of time and resources as units educate faculty on best practices and develop and implement specific policies and procedures. Although OAA does not require any particular form of

peer evaluation, units are required to develop a detailed plan that is appropriate for their instructional situations, taking into account what assessments will be done, for what purpose, by whom, and when.

1.4.3.1.1 REQUIRED

Revised: 04/16/02

Edited: 08/01/07

Periodic peer evaluation is required for both probationary and tenured faculty (at all ranks).

Peer evaluation is the responsibility of the faculty of the TIU, not the individual faculty member being reviewed. The faculty must determine the methods of peer review that work best for the particular unit and apply them consistently.

1.4.3.1.2 RECOMMENDED

Revised: 04/16/02

Edited: 08/01/07

Peer evaluation should focus on those aspects of teaching that students cannot validly assess, such as appropriateness of curricular choices, implicit and explicit goals of instruction, choice of examination/evaluation materials by the faculty member, and consistency with highest standards of disciplinary knowledge. Peer evaluation should have clear goals, be informed by student opinion, and be grounded in a unit culture that values good teaching. Classroom observations should not serve as the sole method for peer assessment of teaching effectiveness.

1.4.3.1.3 CLASSROOM INSTRUCTION

Revised: 04/16/02

Edited: 08/01/07

The focus of peer evaluation of classroom teaching should be on how the faculty member engages the students in learning in a manner appropriate to the situation. Peer evaluation of classroom teaching should include an assessment of the substance of the class including the appropriateness of topics, given the goals of the course (survey, major required course), and the methods used to communicate them.

1.4.3.1.4 COURSE MATERIALS

Revised: 08/04/09

Edited: 08/04/09

Examine syllabi, assignments, projects, and examinations to determine the extent to which:

- course objectives are appropriate
- course materials and assignments are up-to-date and consistent with course objectives
- syllabi are informative
- feedback on assignments is appropriately detailed and contributes to learning
- graded examinations and projects demonstrate the engagement of the faculty member and the students
- assessment of course materials may be made by peers within the unit or external reviewers as determined by procedures established by the TIU
- Peer review done for the purpose of informing reviews for promotion and tenure or promotion should be done often enough, and across a sufficient range of instructional situations, to provide a meaningful body of evidence and early enough to allow for the use of feedback for improvement. Such reviews should in general be done by senior faculty for probationary faculty and by full professors for associate professors.

1.4.3.1.5 GUIDELINES FOR REVISING CURRENT PRACTICES

Revised: 03/15/02

Edited: 08/01/07

The following brief guidelines, taken in part from Nancy Van Note Chism's *Peer Review of Teaching: A Sourcebook* (Bolton, MA: Anker, 1999), will greatly benefit units that wish to initiate substantive and effective change in current practices of peer review of teaching at the most local levels (units or schools).

Local Discussion of Evaluating Peer Review of Teaching

This first step in reviewing current practices and seeking effective change is most crucial. Faculty must come together to address several philosophical and pedagogical issues before revising existing practice or implementing new practices. The kinds of issues addressed during local discussions (which will take place over several meetings and/or during retreats to address teaching) might include the following:

- Define good teaching within the unit, its qualities and goals (a "what" of peer review). For what purpose is teaching reviewed (the "why")?
- Define "peer" (a "who" of peer review). Who is eligible to conduct reviews of teaching?
- Define who will be reviewed (a second "who"). According to OAA guidelines, all faculty teaching must be reviewed periodically.
- Enumerate the range of practices defined as teaching (a "what" and "where" of peer review). These practices might include classroom teaching, scholarship on teaching, advising, web-based instruction, distance learning, dissertation and thesis advising, independent study, curriculum development.
- Articulate the areas of focus for review of classroom teaching (articulation of course goals, mastery of course content, effective use of instructional methods and materials, appropriate evaluation of student work).
- Establish the process by which peer review of teaching will take place (the "how" of peer review). What tools and methods will be used? What kinds of documentation will be required of faculty, peer reviewers, unit heads?
- Define a schedule by which all faculty members will be reviewed (the "when").
- Articulate the relationship between and provide opportunities for both formative and summative evaluation of teaching.
- Articulate the relationship among types of evaluation of teaching (student, peer, administrative, self).

Implementing the System

Once a unit has discussed and reached consensus on issues like those listed above, it can then begin to implement the new processes. To do so effectively, the unit must:

- prepare faculty to participate effectively in the new review processes
- monitor, review, and evaluate the new processes
- commit to further change and adjust the system if data suggests that is necessary

"Closing the Loop"

In addition to preparing faculty, monitoring and evaluating and perhaps adjusting a new system of peer review of teaching, units must also "close the loop," they must use the data gathered in peer review to improve the quality of teaching within the unit. Teachers (and peers) use what they learn from both formative and summative evaluation to become better teachers. Units must also seek to use the data collected to make informed and equitable judgments about teaching while undertaking summative evaluation of teaching. Peer review of teaching, as well, must be situated in terms of the other data available (self-evaluation, student evaluation, administrative review). Similarly, all data should be interpreted in terms of both the unit's and candidate's goals, philosophies of teaching, and mission.

1.4.3.2 STUDENT EVALUATION

Revised: 04/16/02

Edited: 08/01/07

Faculty Rule 3335-3-35 (A) (14) requires units to assure that students are given the opportunity to evaluate every course every time it is taught. The university recognizes the value of soliciting commentary from students on their experiences in the classroom. Student assessment of teaching, however, may be colored by the student's performance in the course, personal response to a particular instructor, and other aspects of the course or situation that do not necessarily reflect on the quality of instruction; nevertheless, student opinions about instructors and classes are very important. TIU faculty must develop and implement appropriate policies for collecting student input as well as procedures for interpreting data collected from students. However, TIUs must not rely solely on student responses to courses and instruction such as the Student Evaluation of Instruction (SEI) in their assessment of the quality of a faculty member's teaching.

Despite the utility and effectiveness of the SEI, please keep in mind that it is a blunt instrument and that its results should not be regarded as highly precise. Please also keep in mind that the SEI is only one source of data for assessing teaching (SEI Handbook September 2001, 7).

When a substantial proportion of students are consistently dissatisfied with the teaching of a particular instructor, a problem exists that requires attention. The university cannot recruit and retain high-quality students unless they are satisfied with the quality of the instruction that they receive.

1.4.3.2.1 REQUIRED

Revised: 04/16/02

Edited: 08/01/07

Every TIU's APT document must specify a single required method of soliciting student opinion in each distinct type of course (large lecture course, small seminar). Faculty members may supplement this with other methods if they wish.

Student opinion must be solicited in every course on those issues that students are best able to assess:

- instructor's preparedness for class
- clarity of communication
- ability to generate interest in the material
- accessibility
- ability to establish a conducive learning environment
- timeliness of and quality of responses to student work

When the results of soliciting student opinion are to be a component of performance review, the process cannot be under the control of the faculty member. TIUs must have a mechanism for assuring that faculty members do not collect student opinion surveys themselves.

If instruments that are not machine-gradable are used in the P&T process, someone other than the faculty member must summarize the results for inclusion in the dossier.

1.4.3.2.2 RECOMMENDED

Revised: 04/16/02

Edited: 08/01/07

Queries should include a highly structured component. Data should correlate to specific issues on which student opinion is desired. If the TIU wishes to draw comparisons among instructors, then performance in comparable types of courses should provide the basis for comparison.

Open-ended or even semi-structured essays by themselves do not serve these purposes well. Comments may be useful in allowing respondents to expand on highly structured queries but when few such comments are available, they offer minimal basis for generalization. Student comments that aid specifically in the interpretation of the statistical data are useful.

Efforts should be made to maximize response rates since low response rates greatly limit the usefulness of data.

Numerical assessments that determine solely whether a faculty member does or does not meet or exceed the college or university mean in the cumulative average on the SEI are not useful. Trivial differences in mean values do not constitute a viable basis for comparing one instructor with another. The focus should be on patterns of responses and on general comparisons rather than on small differences in mean values.

Exit interviews of graduating majors, though not generating large amounts of data about specific instructors, are often helpful in revealing how students view their overall experience in the unit's courses.

1.4.3.3 ADMINISTRATOR EVALUATION

Revised: 04/16/02

Edited: 08/01/07

TIU heads play a particularly important role in the definition, development, and implementation of appropriate practices of peer review of teaching. Administrator evaluation of classroom teaching should focus on:

- evaluating drop rates, failure rates, and other data associated with the course
- judging whether a pattern of negative data is a direct consequence of the quality of instruction or is possibly related to other factors
- providing important corroborating evidence related to the quality of teaching by faculty in a particular unit
- identifying particular teaching contributions of the faculty member to the teaching mission and mandates of the unit
- evaluating the effectiveness of extra-classroom teaching of faculty

1.4.3.4 SELF EVALUATION

Revised: 04/16/02

Edited: 08/01/07

Reflective practice and self-assessment by faculty members are necessary components of the systematic evaluation of instruction. Individual faculty members should be given every opportunity to:

- explain the goals and intentions of their courses and assignment designs
- describe the philosophy of teaching and learning that informs their practice
- interpret the relationship between student ratings and classroom events
- reflect on evaluation information to improve their teaching

Although self-assessment cannot be the only source of data for making credible personnel decisions, the personal narrative that provides an explanation of a faculty member's teaching goals is a valuable source for P&T decisions.

1.4.3.5 INTEGRATION AND INTERPRETATION

Revised: 04/16/02

Edited: 08/01/07

Units must integrate and interpret data from all sources within the context of the discipline and the unit. Each unit should develop a system to integrate and interpret data derived from all of the relevant sources using the TIU's criteria for judging teaching effectiveness and excellence. Units must develop procedures for interpreting evaluation of teaching in a fair and responsible way.

Systems of evaluation must both make summative judgments about the quality of teaching, and provide timely and formative feedback with the opportunity for faculty to use this feedback to improve their instruction of Ohio State students.

1.5 COURSE SCHEDULING

Revised: 07/23/04

Edited: 08/01/07

While unit heads must give consideration to the teaching specialties and preferences of faculty, the primary consideration in scheduling classes must be to provide for the needs of students, both the unit's own students and those from other units who need specific courses to meet their degree requirements. Unit heads should make every effort to assure the regular availability of required courses and the sensible timing of high-demand offerings so that all students have a fair chance of fitting such courses into their schedules.

It is the unit head's responsibility to assure that the schedule of course offerings each quarter makes the most effective use of the unit's instructional resources. Faculty Rule 3335-8-16 establishes a standard that an elective course below the 300 level should have an enrollment of at least 12 and an elective course at the 300 level or above should have an enrollment of at least eight for the course to be taught. A unit may wish to establish higher minimums.

Units should review annually the patterns of enrollment in their course offerings, especially their elective offerings. Unit heads should identify offerings that may represent a less than optimal use of instructional resources. Units should discontinue or, at least not offer again until there is reason to expect adequate enrollment, courses with enrollments that are frequently below minimum. Unit heads should assign other courses to faculty who teach such courses, or whose courses are cancelled because of low enrollment. Faculty may not cancel courses on their own. The unit head is responsible for determining whether a scheduled course is to be cancelled.

1.6 NEW COURSES AND ABOLISHMENT OF COURSES

Revised: 08/05/05

Edited: 08/01/07

At the start of each new academic year OAA issues an updated manual containing information on the creation of new courses and the abolishment of courses: [Academic Organization and Curriculum Handbook](#).

1.7 GRADUATE ASSOCIATES

Revised: 08/01/07

Edited: 08/04/09

The [Graduate School Handbook](#), updated annually and available at www.gradsch.ohio-state.edu, contains the university policies on graduate associate appointments.

2.0 COLLEGE ADMINISTRATION

Revised: 09/01/99

Edited: 08/01/07

2.1 DEANS

Revised: 09/01/99

Edited: 08/04/09

The term of service and responsibilities of deans are described in Faculty Rule 3335-3-29. The BOT appoints deans for five-year terms subject to an annual performance review. Deans undergo a more thorough review during the fifth year of service if they wish to be considered for reappointment.

The dean title implies both academic responsibilities (responsibilities related to curriculum and faculty) and decision-making authority. The title should be used only for positions involving academic responsibilities and the incumbent should have appropriate credentials.

2.2 ASSOCIATE AND ASSISTANT DEANS

Revised: 08/01/01

Edited: 08/01/07

Deans may appoint such associate and assistant deans as are needed to carry out the business of the college. The dean determines the terms of appointment.

Letters of offer to associate and assistant deans require prior approval by OAA. OAA suggests that these appointments be for a length of one year and that they may be renewable. Associate and assistant deans are subject to annual review and may be removed before the end of the appointment period.

The following descriptors and criteria for assistant and associate dean titles were adopted by OAA in 1992 following consultation with the Council of Deans and University Senate Steering Committee.

2.2.1 ASSOCIATE DEANS

Revised: 08/01/01

Edited: 08/01/07

Associate deans' duties may include considerable decision-making authority in academic areas such as research, curriculum development and implementation, academic support services for students, academic support services for faculty, and space and facilities.

Associate deans may also have responsibility for faculty appointments, grievances, discipline, and other personnel matters specific to faculty. Associate deans must be RTT or RCT faculty members.

2.2.2 ASSISTANT DEANS

Revised: 05/01/08

Edited: 05/01/08

Assistant deans' duties may include both support activities and some decision-making authority in academic areas such as curriculum development and implementation, academic support services for students, and academic support services for faculty.

Ideally assistant deans should hold the terminal degree in a discipline in the college in which they serve or a related discipline, but do not need to be faculty members. However, if an assistant dean has authority in the area of faculty appointments, grievances, and related matters, that individual must have faculty status.

2.3 FACULTY TEACHING WORKLOAD

Revised: 04/01/99

Edited: 08/01/07

In setting college workload policy, flexibility is important in order to recognize that there may be ranges in teaching, research, and service expectations among departments, as well as among the faculty within departments.

The dean of each college, in consultation with the provost and the college's department chairs, is responsible for determining the appropriate division of workload expectations for each department (or equivalent unit in the college) according to the department's level of activity in the degree programs it offers. In determining the relative emphasis that a given department would place upon undergraduate programs, research, and graduate programs, the dean should consider the research productivity of the faculty, including externally funded research, and the average number of graduate and/or professional degrees granted annually.

At all times, consideration should be given to the fact that students at Ohio State learn in a research intensive environment where research and teaching are seen as two inseparable facets of the learning experience for both faculty and students.

See also 1.4.2 on department faculty teaching workload policy.

3.0 REGIONAL CAMPUSES

Revised: 07/26/04

Edited: 08/04/09

The four regional campuses—Lima, Mansfield, Marion, and Newark—offer Associate of Arts degrees as well as undergraduate and graduate programs in selected areas.

Courses on these campuses must be approved by the relevant units on the main campus. All courses taught on the regional campuses are Ohio State courses, not regional campus courses.

Regional campus faculty members are assigned to the campus that hired them for the duration of their employment with the university unless a campus transfer is made under the terms of Faculty Rule 3335-6-07.

The TIU of regional campus faculty is the discipline-based unit on the Columbus campus. This arrangement necessitates considerable cooperation between the regional campus and the Columbus campus TIU in order to assure that appointments, annual reviews, and P&T reviews are carried out in a manner fair to the faculty and consistent with the needs and standards of both the TIU and the regional campus.

4.0 UNIVERSITY SENATE

Revised: 08/04/09

Edited: 08/04/09

For the powers of the University Senate, see Faculty Rule 3335-5-41.

The web site of the University Senate is at www.senate.osu.edu.

The University Senate consists of 70 faculty members representing 18 colleges, the University Libraries, the regional campuses, and the military sciences; ten graduate students, five professional students, and 26 undergraduate students; and 26 administrators including the university president, the executive vice president and provost, the senior vice president for business and finance, the senior vice president for research, the 18 deans of the colleges, the executive dean of the colleges of the arts and sciences, the executive dean of the regional campuses, the dean of the graduate school, and the director of libraries. Most of the business of the University Senate is conducted through its three organizing and 18 standing committees.

5.0 RULES OF THE UNIVERSITY FACULTY

Revised: 07/26/04

Edited: 08/01/07

Chapters of the Rules of the University Faculty with special relevance to faculty and academic administrators are:

3335-3	Administration
3335-5	Faculty, Governance and Committees
3335-6	Tenure track Faculty Appointments, Reappointments, & Promotion & Tenure
3335-7	Regular Clinical & Regular Research Track Appointment, Reappointment & Nonreappointment, & Promotion

The remaining Chapters of the Rules of the University Faculty are:

3335-8	Instruction, Courses and Curricula
3335-9	Attendance and Graduation
3335-11	Student Life/University Discipline
3335-13	University Property/Restrictions/Patent Rights
3335-15	Miscellaneous Provisions

5.1 BYLAWS OF THE UNIVERSITY SENATE

Revised: 07/26/04

Edited: 08/01/07

3335-17 Election Bylaws of University Senate
3335-19 Bylaws of University Senate

5.2 CODE OF STUDENT CONDUCT

Revised: 07/26/04

Edited: 08/01/07

3335-23 Code of Student Conduct

The Rules of the University Faculty can be found on the BOT website: www.trustees.osu.edu/ChapIndex/index.php.

6.0 FACULTY IN MEMORIAM RESOLUTIONS

Revised: 07/26/04

Edited: 08/01/07

The BOT Office makes reasonable efforts to stay informed of deaths of faculty and faculty-emeritus. When a death is noted (in local newspaper obituaries) the BOT Office contacts the dean of the faculty member's college and requests that a memorial be written and sent to the BOT Office. That resolution is then taken to the next BOT next meeting for approval. After the BOT meeting, a certified copy of the memorial and a letter from the president is sent to the family of the deceased.

CHAPTER 3 FACULTY APPOINTMENTS

1.0 APPOINTMENT TYPES

Revised: 08/01/07

Edited: 08/01/07

1.1 DEFINITIONS AND USE OF FACULTY TITLES

Revised: 07/26/04

Edited: 08/01/07

Faculty Rule 3335-5-19 states the general criteria governing the types of faculty titles. Faculty Rules 3335-6 and 3335-7 describe in detail the three regular (continuing) faculty tracks listed below. A chart of faculty appointment types, titles, and job codes is available at the end of OAA Policies and Procedures Handbook.

1.1.1 UNITS WITH AN APPROVED CLINICAL TRACK

Revised: 05/01/08

Edited: 08/04/09

This is a list of colleges (bold), departments, and schools with approved clinical tracks. Unless an exception is approved by the University Senate and the Board of Trustees, clinical track faculty may comprise no more than 40% of the total tenure track faculty in each of the departments, schools, and colleges of the Health Sciences and no more than 20% of the tenure track faculty in other departments, schools, and colleges. The College of Medicine has an approved exception and has no appointment cap. Units that impose a stricter limit are noted in parentheses.

Business*

Dentistry

Engineering

Aerospace Engineering

Biomedical Engineering

Civil and Environmental Engineering and Geodetic
Science

Computer Science and Engineering

Electrical and Computer Engineering

Industrial, Welding, and Systems Engineering

Mechanical Engineering (10)

Law

Medicine

Allied Medical Professions

Anesthesiology

Emergency Medicine

Family Medicine
 Internal Medicine
 Neurological Surgery
 Neurology
 Obstetrics and Gynecology
 Ophthalmology
 Orthopaedics
 Otolaryngology
 Pathology
 Pediatrics
 Physical Medicine and Rehabilitation
 Psychiatry
 Radiology

Surgery
Nursing
Optometry
Pharmacy
Public Health
Social and Behavioral Sciences*
 Psychology*
Speech and Hearing Science
Veterinary Medicine
 Veterinary Biosciences
 Veterinary Clinical Sciences
 Veterinary Preventative Medicine

*Pending OAA approval of governance documents.

1.1.2 UNITS WITH AN APPROVED RESEARCH TRACK

Revised: 05/01/08

Edited: 08/04/09

This is a list of colleges (bold), departments, and schools with approved research tracks. Unless otherwise authorized by a majority vote of the tenure track faculty in a unit, research track faculty must comprise no more than 20% of the number of tenure track faculty in the unit. In all cases, however, the number of research track faculty positions in a unit must constitute a minority with respect to the number of tenure track faculty in the unit. Units that authorize a different cap are noted in parentheses.

Biological Sciences

Entomology

Dentistry

Engineering

Aerospace Engineering

Aviation

Biomedical Engineering

Electrical Engineering

Industrial, Welding, and Systems Engineering

Materials Science and Engineering

Mechanical Engineering (10)

Food, Agriculture, and Environmental Sciences

Animal Sciences

Medicine

Biomedical Informatics

Family Medicine

Internal Medicine

Molecular and Cellular Biochemistry

Molecular Virology, Immunology, and Medical Genetics

Neurological Surgery

Neuroscience

Obstetrics and Gynecology

Pediatrics

Pharmacology

Physical Medicine and Rehabilitation

Physiology and Cell Biology

Psychiatry

Radiology

Surgery

Nursing

Optometry (30)

Pharmacy

Public Health

Social and Behavioral Sciences

Psychology (10)

2.0 REGULAR FACULTY

Revised: 07/26/04

Edited: 08/01/07

There are three types of regular faculty at The Ohio State University:

- Regular tenure track faculty (see Faculty Rule 3335-6)
- Regular clinical track faculty (see Faculty Rule 3335-7)
- Regular research track faculty (see Faculty Rule 3335-7)

2.1 JOINT APPOINTMENTS

Revised: 02/13/01

Edited: 08/04/09

A joint faculty appointment is defined as one in which a faculty member has a compensated FTE appointment in two or more TIUs. Some aspects of these guidelines may also be helpful in establishing memoranda of understanding (MOUs) for appointments where a non-TIU such as an academic center provides part of the funding for a faculty appointment but such MOUs do not require OAA approval.

2.1.1 APPOINTING NEW FACULTY MEMBERS TO A JOINT POSITION

Revised: 08/04/09

Edited: 08/04/09

The units considering making a joint appointment should determine whether this is the most appropriate means of accomplishing some shared goal. Financial reasons (neither unit has the resources to make the appointment on its own) alone do not provide an optimal foundation for joint appointments. If there are others means (such as joint service on graduate studies committees) that will accomplish the shared goal, OAA suggests not pursuing a joint appointment.

Ideally the units making a joint appointment should reach agreement on its terms before seeking an individual to fill the position so that these terms can be communicated clearly to candidates. These terms, modified as a consequence of negotiation with a particular candidate where appropriate, must be set forth in an MOU signed by the hiring units. If the hiring units are in different colleges, both deans must also sign off on the MOU.

Before being extended to candidates, letters of offer involving joint appointments as defined in these guidelines, along with the MOU noted above, must be approved by OAA. A candidate must be made aware of the terms of the MOU before asked to decide on an offer. Items that should be included in the MOU include:

- The TIU in which the candidate's tenure will reside (see Faculty Rule 3335-6-06). If it is possible for the TIU designation to be renegotiated at a subsequent time, there should be some content indicating how such a negotiation would be initiated and concluded.
- what each unit will contribute to the appointment in terms of compensation; office; research space, equipment, and research start up funds; and any other relevant resources, as well as what the process is by which relative contributions could be changed over time
- the defined workload associated with each part of the appointment; the process by which defined the workload associated with the different parts of the appointment can be changed; and the mechanism for resolving workload issues should it be alleged by either the joint appointee or one of the hiring units that one or both of the units' expectations differ from those agreed to in the MOU
- the annual salary decisions process and whether the units agree to reach consensus on salary increases or each provide its own recommendation based on performance in areas relevant only to its part of the appointment
- In the case of an untenured faculty member, how annual reviews and the review for tenure will be conducted; whether both units must agree on renewal of the appointment and ultimately on the award of tenure for the peer recommendation to be considered positive and if not, how a disagreement on renewal and tenure will be handled. If the units cannot reach an agreement on this extremely important matter, then the hire should not be made.
- in the case of a tenured faculty member how annual reviews and reviews for promotion will be conducted and whether both units must agree that promotion is warranted for the peer recommendation to be considered positive
- the governance rights of the joint appointee in each of the units sharing the joint appointee

2.1.2 FACULTY TRANSFER INTO A JOINT POSITION

Revised: 08/04/09

Edited: 08/04/09

On occasion, a faculty member hired into a full-time faculty position in a particular TIU desires to establish a joint appointment with another unit. In such cases, OAA recommends the following procedure:

- The faculty member should consult with the chair of the unit with which s/he wants to establish a joint appointment and explain why such an appointment would benefit his/her academic career at Ohio State.
- The chair then makes a judgment about whether the joint appointment will benefit the mission of the unit of the whole and whether there are funds to cover the salary and benefits associated with the joint appointment. In making this judgment, the chair should consult with the dean about the effect of this joint appointment, if any, on future hires in the unit.
- If the chair ascertains that the transfer would benefit the unit, the chair consults with the dean about whether there are funds in place to support the joint appointment. At this point, the chair should ask the faculty member requesting the joint appointment to write a formal letter of application. At the same time, the faculty member and/or chair of the receiving unit should discuss the possibility of the appointment with the TIU chair.
- The receiving unit should provide information about the faculty member to its faculty and request a vote, following hiring procedures laid out in the APT document, about whether it approves the joint appointment.
- The dean and chair of the receiving unit decides whether to approve the appointment.
- The two units will write an MOU about the appointment, including which unit will serve as the TIU, that will be approved by the dean(s) of the TIU and by OAA.

2.2 SHARED POSITION

Revised: 11/09/04

Edited: 08/01/07

It is possible for a unit to hire two individuals to share a single tenure track faculty position. The following considerations apply:

- The position must necessarily be split 50-50 in order for both parts of the position to be tenure track.
- Letters of offer for such positions must address clearly the extent to which the two positions are independent or interdependent, specifically:
 - the right or lack of right of one party to the other half of the position should that half become vacant
 - untenured positions: the independence or interdependence of annual reappointment and tenure decisions
 - untenured and tenured positions: the independence or interdependence of annual evaluations, salary increases, promotion in rank, and provision of resources such as space and equipment
- Generally it is best to treat the two halves of the position as independent, particularly in any matter involving performance evaluation.

2.3 COURTESY APPOINTMENTS

Revised: 11/09/04

Edited: 08/01/07

Courtesy appointments have 0% FTE and occur when a regular faculty member holds an appointment in one or more units outside the TIU. Units make courtesy appointments with the faculty member's regular title.

TIUs should establish formal expectations for courtesy appointments. Courtesy appointments should be discontinued when expectations are not met.

3.0 AUXILIARY FACULTY

Revised: 07/29/04

Edited: 08/01/07

3.1 COMPENSATED AUXILIARY APPOINTMENTS

Revised: 08/01/07

Edited: 08/01/07

For definitions and policies regarding auxiliary faculty, see Faculty Rule 3335-5-19.

Persons with RTT faculty titles employed at 50% or more FTE may not hold an auxiliary faculty appointment.

Problems and misunderstandings arise when persons with an auxiliary appointment assume that the appointment is ongoing. Therefore it is essential that the letter of offer state not only the time limitations of the appointment but also the unit's policy on the circumstances in which such auxiliary faculty members may identify themselves as Ohio State faculty.

These appointments are appropriate for persons who provide significant, compensated service to the university such as:

- teaching the equivalent of one or more course
- advising graduate students or serving on graduate committees
- serving as a co-investigator on a research project that entails regular interaction with department faculty and students as part of the collaboration

Regardless of title, all auxiliary appointments must entail a letter of offer stating the start and end date with the latter occurring no later than June 30 of the current fiscal year. Appointments will be renewed annually. Appointments carry no presumption of academic tenure.

Renewal requires a new letter of offer and a new action in the HR system.

Nonrenewal requires termination in the HR system effective on the end date as stated in the letter of offer.

3.1.1 VISITING FACULTY

Revised: 08/04/09

Edited: 08/04/09

Fiscal or programmatic circumstances may sometimes make it appropriate to hire fully qualified faculty under time-limited contracts. Visiting faculty appointments:

- do not require internal posting
- may be renewed for up to three consecutive years at 100% FTE. Part-time appointments may be renewed until the equivalent of three years at 100% FTE is reached.

TIUs may also use the visiting faculty title for the temporary appointment of a faculty member from other institutions, who may or may not be compensated by Ohio State, and for foreign national faculty members who have been awarded tenure but do not have permanent residency status.

Only TIUs may make visiting faculty appointments for temporary duties. A non-TIU unit such as a center that wishes to appoint persons must use an appropriate non-faculty title.

3.1.2 VISITING FACULTY BENEFITS

Revised: 07/29/04

Edited: 08/01/07

Faculty members who are appointed full time for at least three consecutive quarters both to teach and conduct research may be offered regular faculty benefits. If they do so, they must be designated BE (benefits eligible).

Units must treat all comparable appointments consistently. They must designate either all eligible visiting faculty members as benefits eligible or none.

Non-salaried visiting appointments and those which do not meet the other criteria above are not benefits eligible.

3.1.3 LECTURER

Revised: 07/29/04

Edited: 08/01/07

When personnel other than graduate teaching associates are needed for classroom teaching only, usually on a part-time basis and mainly for lower division courses, Lecturer or Senior Lecturer is the appropriate appointment.

Lecturer positions do not require internal posting.

Individual TIUs and colleges shall establish appropriate criteria and associated pay scales for differentiating lecturers from senior lecturers.

3.1.4 CLINICAL AUXILIARY

Revised: 07/29/04

Edited: 08/01/07

Clinical auxiliary titles are appropriate for persons compensated to teach and provide patient care in the health sciences at FTE ranging from 1% - 100%.

3.2 UNCOMPENSATED AUXILIARY APPOINTMENTS

Revised: 07/26/04

Edited: 08/01/07

For definitions and policies regarding auxiliary faculty, see Faculty Rule 3335-5-19.

3.2.1 VISITING FACULTY

Revised: 07/26/04

Edited: 08/01/07

TIUs may use the visiting faculty title for the temporary appointment of faculty from other institutions who are not compensated by Ohio State. This title is also appropriate for visiting faculty from other institutions who are compensated.

3.2.2 VISITING SCHOLAR

Revised: 07/26/04

Edited: 08/01/07

This is a non-faculty title, normally not compensated, for visitors to Ohio State (students from other institutions, both domestic and international, or visiting non-academics) who have need of university identification during their time here.

3.2.3 ADJUNCT AND UNCOMPENSATED CLINICAL AUXILIARY APPOINTMENTS

Revised: 07/26/04

Edited: 08/04/09

These appointments are appropriate for persons who provide significant, uncompensated service to the university such as:

- teaching the equivalent of one or more course
- advising graduate students or serving on graduate committees
- serving as a co-investigator on a research project that entails regular interaction with unit faculty and students as part of the collaboration

- providing necessary university affiliation so that non-university health care providers may practice in university facilities and/or engage in teaching activities

Such individuals may be either non-university employees or university employees compensated on a noninstructional budget.

Regardless of title, all uncompensated auxiliary appointments must entail a letter of offer stating the start and end date with the latter occurring no later than June 30 of the current fiscal year.

Units should annually review uncompensated clinical auxiliary appointments and only renew those where the purpose of the appointment continues to be met.

Renewal requires a new letter of offer and a new action in the HR (human resources) system. Nonrenewal requires termination in the HR system effective on the end date as stated in the letter of offer.

Problems and misunderstandings arise when persons with an auxiliary appointment assume that the appointment is ongoing. Therefore it is essential that the letter of offer state not only the time limitations of the appointment but also the unit's policy on the circumstances in which such auxiliary faculty may identify themselves as Ohio State faculty. Abuses of auxiliary faculty titles occur.

3.2.4 ADJUNCT APPOINTMENTS

Revised: 07/26/04

Edited: 08/01/07

Adjunct appointments are made for the period in which the uncompensated service is provided, not to exceed one year. Renewal is contingent upon continued significant contributions. As stated in Faculty Rule 3335-5-19 (C) (1), adjunct appointments are normally not compensated.

OAA will only approve compensation for services provided by adjunct faculty in the rare instances when an individual who normally provides considerable uncompensated service takes on exceptional responsibility. Such compensation requires advance approval by OAA.

APT documents, as well as letters of offer to auxiliary faculty, should clearly state that adjunct appointments are:

- recommended at the discretion of the unit
- made for periods not to exceed one year
- entail no commitment to renew the appointment beyond that period

The following are examples of inappropriate situations for adjunct appointments:

- Ohio State University staff members whose activities, even if somewhat "faculty-like," are covered by their job description. If a staff member requires a faculty title to perform her or his regular job, then that position should be a faculty rather than a staff position.
- The service provided does not require a faculty title and faculty titles are not typically given for such service (supervising off-campus student internships or giving occasional guest lectures).
- Persons who do not provide significant uncompensated service to the university but want to feel affiliated with a unit and/or want the privileges associated with faculty status.
- Persons, whether university employees or not, who teach one or more courses or workshops for pay during an academic year but who do not provide significant uncompensated service.

4.0 EMERITUS FACULTY

Revised: 08/05/05

Edited: 08/01/07

RTT, RCT, and RRT faculty are potentially eligible for emeritus status regardless of their length of service at The Ohio State University (see Faculty Rule 3335-5-19 (E)).

4.1 CRITERIA FOR EMERITUS ELIGIBILITY OF AUXILIARY CLINICAL ASSOCIATE PROFESSORS AND PROFESSORS IN THE HEALTH SCIENCES COLLEGES

Revised: 08/05/05

Edited: 08/01/07

OAA reserves the appointment of auxiliary clinical faculty to emeritus status for those who have made outstanding contributions to the college. Over time it is expected that emeritus appointments will be awarded to auxiliary clinical faculty appointees whose performance is consistently among the top 5%. Specific criteria include:

- minimum of 20 years of service to the unit and the college
- unit certification of a minimum of 96 hours of service per year for the 20 years
- hold a clinical appointment at the time emeritus status is recommended
- unit certification that the quality of service ranks in the top 5 to 10 % of all clinical appointees
- unit P&T committee concurs with chair's recommendation

4.2 PERQUISITES

Revised: 08/05/05

Edited: 08/01/07

Various offices within the university offer perquisites to emeritus faculty. Some of these include:

- emeritus parking hangtag free of charge (application provided by the Office of the Board of Trustees)
- emeritus permanent university ID card permitting library privileges
- continuing use of OSU e-mail account (request by calling the Office of Information Technology's Help Line at 614-688-HELP [4357])
- reduced membership fee offered by the Faculty Club
- football ticket application offered by the Department of Athletics
- annual Faculty/Staff Directory offered at a reduced rate by the Office of the Board of Trustees
- emeritus faculty are eligible to be listed in the Faculty/Staff Directory, to receive campus-wide news publications issued by the university, and to attend Senate and other university and faculty meetings without vote
- The provision of office space, secretarial support, office supplies, and computer use is strictly at the discretion of each unit and/or college.

4.3 GRADUATE FACULTY STATUS

Revised: 08/05/05

Edited: 08/01/07

An emeritus faculty member who was a member of the graduate faculty before retirement, remains active in the unit/university, continues to fulfill the other requirements for remaining an active member of the graduate faculty, and remains in the Greater Columbus area, can continue to serve on graduate committees and serve as advisor to students. However, if the unit deactivates their graduate faculty status or they do not fulfill other obligations for maintaining graduate faculty status and the Graduate School deactivates them, then they are not eligible to serve on committees or chair/advise students.

If a graduate faculty member, emeritus or regular, leaves the Columbus area, s/he can finish with students already in progress but cannot take on new students. The Graduate School asks that there be an on-campus co-advisor for students whose advisor leaves the university. The student's graduate program must notify the Graduate School in writing of the departing faculty member and the students involved so we can make note in their files.

4.4 PROCEDURES FOR FACULTY EMERITUS REQUESTS

Revised: 08/04/09

Edited: 08/04/09

Colleges should forward written requests for faculty emeritus status to OAA. These requests should include:

- copy of faculty member's letter of intention to retire with retirement date
- short statement of justification from the unit
- cover letter from the college dean stating the emeritus effective date (which may not precede the retirement date)

The title request should be tied to final faculty status (e.g. associate professor emeritus). The only honorific title the BOT recognizes is distinguished university professor emeritus. The BOT will not award emeritus status retroactively. The effective date may not be earlier than the 1st of the month in which the BOT approves the emeritus action at its regular meeting. After the provost has approved the emeritus request, if necessary correcting the effective date because of the Board's meeting schedule, the letter is returned to the college.

Only after the college knows the emeritus request is approved may HR personnel in the unit and/or college enter the emeritus appointment into the HR system. A retirement action must be entered prior to entering the emeritus action, and the emeritus effective date in the HR system must correspond exactly to the effective date in the letter approved by the provost. The emeritus effective date does not affect the retirement effective date.

Enter emeritus status as a rehire action [0% FTE] using job code 4612 for faculty emeritus.

The HR action of "rehiring" a retired faculty member into emeritus status should not be confused with the reemployment of retired faculty.

5.0 REEMPLOYMENT OF RETIRED FACULTY

Edited: 08/04/09

Edited: 08/04/09

For eligibility requirements and guidelines on the rehiring of faculty who have retired from The Ohio State University, see the Office of Human Resources' (OHR) returning retirees web page, www.hr.osu.edu/benefits/retireretiree.htm.

It is acceptable for units, in consultation with their college offices, to negotiate some post-retirement work with non-retired faculty in order to facilitate retirement. However, long-term agreements are inappropriate and even short-term agreements should be made subject to availability of funds, programmatic needs, and performance. Re-employment of retired faculty is not an entitlement and cannot be guaranteed. Note that faculty may not be rehired at a position greater than 75% FTE.

Questions regarding restrictions on rehiring retired faculty members may be addressed either to OHR or OAA.

6.0 ENDOWED CHAIRS OR PROFESSORSHIPS

Revised: 08/05/05

Edited: 08/01/07

Only the BOT can establish a chair or professorship and appoint an individual to hold that position. Units and colleges should defer publicity regarding the establishment of a chair/professorship or the appointment of an individual to that position until action has been taken by the BOT.

6.1 ESTABLISHING AN ENDOWED CHAIR OR PROFESSORSHIP

Revised: 08/05/05

Edited: 08/01/07

Units and colleges requesting the establishment of a chair/professorship submit their requests to the BOT for approval only after the required funding level has been reached.

Chairs/professorships are established using the same process as an endowment fund. Units and colleges submit description to Development Administration (www.giveto.osu.edu/index.asp) by the appropriate deadline, to ensure that it can be reviewed prior to going to the BOT for approval. (See the Endowment Approval Schedule maintained by Development Administration.)

After the BOT has approved the establishment of the chair/professorship, the BOT Office will send certified copies of the description to Development Administration for distribution.

6.2 APPOINTING A FACULTY MEMBER TO AN ENDOWED CHAIR OR PROFESSORSHIP

Revised: 05/01/08

Edited: 05/01/08

The college transmits a draft letter of offer to OAA for approval before extending the offer to the candidate. OAA does not require a CV for internal candidates. Since appointments to endowed chairs or professorships are ordinarily made at senior rank, the college must follow OAA guidelines for such appointments and include all required documentation with the draft letter of offer when making an offer to an external candidate.

The letter must state the effective date and length of term, not to exceed five years, at which time the appointment will be up for renewal. After OAA returns the draft letter of offer to the college, the unit may extend an offer to the candidate. The candidate must acknowledge acceptance of the position in writing.

The college sends to OAA a copy of the final offer on letterhead along with the candidate's acceptance, either as a signature on the offer letter or as a separate letter.

OAA forwards the offer letter with the candidate's acceptance to the BOT for final approval. The appointment becomes official only upon approval by the BOT.

The dean must conduct a formal review prior to submitting an individual for reappointment to an endowed chair.

7.0 TEACHING COMPONENT IN UNCLASSIFIED ADMINISTRATIVE & PROFESSIONAL (A&P) STAFF POSITIONS

Revised: 03/25/05

Edited: 08/01/07

If the assigned job duties of an unclassified A&P staff position include teaching, the maximum percentage of time that may be devoted to teaching is 33%.

If teaching is not part of the assigned job duties of an unclassified A&P staff position, teaching may be done for supplemental compensation, subject to the 20% cap that applies equally to faculty and staff.

8.0 REEMPLOYMENT OF TENURE TRACK FACULTY FOLLOWING NONRENEWAL OF APPOINTMENT OR DENIAL OF TENURE

Revised: 07/26/04

Edited: 08/04/09

OAA must approve the rehire of a RTT faculty member denied reappointment or tenure. **This requirement for approval applies to faculty members rehired within three years of the final day of the original tenure track appointment.** Approval will be based on the nature of the proposed appointment in relationship to the reasons for denial of reappointment or tenure.

Proposals unlikely to be approved would be those to rehire a faculty member to teach or to conduct research in some capacity when unacceptable teaching or research, respectively, was a factor in the denial of reappointment or tenure.

Units should exercise equivalent judgment in considering the rehire of probationary RTT faculty who withdraw from a mandatory review and resign.

CHAPTER 4 RECRUITMENT AND HIRING

1.0 RECRUITMENT OF REGULAR TENURE TRACK, CLINICAL TRACK, AND RESEARCH TRACK FACULTY

Revised: 07/26/04

Edited: 08/01/07

1.1 PLANNING

Revised: 07/26/04

Edited: 08/01/07

The recruitment of RTT, RCT, and RRT faculty to fill vacant positions must be based on a clear and sound plan for the programmatic future of the unit and college and on a realistic determination of the availability of resources to support the appointment. The dean of the college must give prior approval of faculty searches. This approval will be based at least in part on a determination that the above criteria have been met.

Circumstances that suggest considerable caution in the recruitment of regular faculty include:

- declining enrollments
- inadequate resources to support the activities and professional development of current faculty
- other major changes that could affect the need for faculty in particular areas of expertise

While probationary faculty appointments can be terminated for fiscal or programmatic reasons, OAA will base approval of such nonrenewals on the extent to which the unit could have reasonably foreseen, at the time of hiring, the fiscal or programmatic changes underlying the nonrenewal decision.

1.2 INTERNAL POSTING

Revised: 07/26/04

Edited: 08/01/07

Hiring units must post all faculty searches in the University Personnel Postings through Employment Services, OHR.

1.3 NATIONAL SEARCH

Revised: 07/26/04

Edited: 08/01/07

All RTT faculty searches must entail a vigorous national search in addition to the internal posting. OAA will, on rare occasion, waive the requirement for a national search for RTT faculty, but the unit and college must be able to convincingly demonstrate why doing so is in the best interests of the unit and university.

External advertising should provide for the maximum possible flexibility in hiring, since any offers extended must be consistent with advertising. If the unit advertises for a faculty member in a particular subspeciality, it cannot fill that position with someone in an entirely different subspeciality. To do so would mean that not only has the unit missed the opportunity to locate the best possible candidate among persons in the latter subspeciality, but has also deprived these persons of the opportunity to apply. By the same reasoning, it is better to designate the salary as negotiable than to state a salary range, and to advertise for all possible ranks unless there is no possibility that the offer will be made above the highest advertised salary or rank.

If the unit is most likely to hire at the assistant professor level, advertising can indicate that the position might be filled at any rank but that assistant professor is preferred.

In the event that a unit wishes to make an offer that is contrary to the salary and rank terms specified in either internal or external advertising, the dean and OAA must approve the deviation, which will be based, in part, on consideration of the extent to which the pool of applicants might have been different had the advertised terms of the position been different.

1.4 ADVERTISEMENT REQUIREMENT FOR HIRING OF FOREIGN NATIONALS

Revised: 07/26/04

Edited: 05/01/08

Many units regularly attract a high number of foreign nationals as applicants for RTT faculty positions. The probability of hiring foreign nationals for RTT faculty positions is particularly high in the engineering, physical, life, and health sciences.

In order to meet strict U. S. Department of Labor (DOL) requirements for the hiring of foreign nationals, it is essential that academic units place at least one advertisement in a nationally circulated print journal during the recruitment process for tenure track faculty positions.

While many units are beginning to advertise exclusively on-line, such advertisements alone, if not accompanied by at least one print advertisement, do not meet requirements for later sponsorship of foreign faculty for U.S. permanent residency status ("green card").

DOL is unlikely to dispense with the print journal advertisement requirement in the near future. Historically, DOL has accepted advertisements in the *Chronicle for Higher Education* as sufficient to meet the requirement, but prefers advertisements in a journal in a particular field that is likely to yield the highest number of qualified applicants for the position.

Since foreign faculty must obtain permanent residency before tenure can be awarded, a unit's failure to place at least one advertisement in a nationally circulated print journal may make it impossible for foreign faculty to successfully obtain permanent residence and subsequently be awarded promotion and tenure. If you have questions about this or related matters, please contact the Office of International Affairs (OIA).

1.4.1 OFFICE OF INTERNATIONAL AFFAIRS

Revised: 07/26/04

Edited: 08/01/07

OIA is responsible for assisting academic units in bringing faculty members to Ohio State in the most appropriate status. Foreign candidates under serious consideration are welcome to meet with OIA regarding immigration matters during the visit for the on-campus interview. A unit representative should contact OIA to schedule an appointment. Additional information can be found on the OIA website, www.oie.osu.edu/.

1.5 DIVERSE POOL OF APPLICANTS

Revised: 07/26/04

Edited: 08/01/07

All searches must include serious efforts to achieve a pool of highly qualified applicants that includes members of underrepresented groups. The university remains strongly committed to diversifying its faculty. Units that lack women and minority faculty must make every possible effort to recruit qualified faculty in these groups.

Every search committee must have a diversity advocate with special responsibility for assuring that the search is conducted according to affirmative action principles. See the OHR policy on Affirmative Action, Equal Employment Opportunity, and Non-Discrimination/Harassment (Policy 1.10) to receive guidance concerning this role.

Advertising is rarely sufficient to accomplish the above goals. Networking and other forms of personal contact with those in a position to recommend or to be candidates are usually required. Search committees should refer to the OHR Guide to Effective Searches (<http://hr.osu.edu/hrpubs/guidesearches.pdf>).

1.6 SEARCH PROCESS

Revised: 07/26/04

Edited: 08/01/07

Search committees make recommendations to the chair following completion of the search process. The charge to the search committee should state clearly the form in which these recommendations are to be made.

On receipt of the search committee's report, the chair may recommend to the dean making an offer to a particular candidate, resuming the search, or canceling the search.

If the chair's likely recommendation is contrary to the recommendation of the search committee, the chair should consult with that body before making a final decision.

1.7 HIRES OF PROBATIONARY TENURE TRACK FACULTY

Revised: 07/26/04

Edited: 08/01/07

In hiring faculty into probationary RTT faculty positions, the unit should be firmly convinced that these persons, given their training and record to date, will successfully meet the unit's, college's and university's standards for tenure by the end of the probationary period.

While it is inevitable that some probationary faculty will ultimately be denied tenure no matter how bright the picture at the time of hire, it is unfair to the prospective faculty member and damaging to the institution to hire anyone in the absence of high confidence of success. Risky hires sometimes work out but more often they do not. Units should not put themselves or the university in the position of having to make a negative tenure decision as a consequence of an inappropriate hiring decision. Such behavior harms the reputation of the unit both within and outside the university and may jeopardize its access to future resources.

It is also important that the projected assignments for a proposed probationary appointment be consistent with the criteria and standards for tenure. Given the necessarily substantial emphasis on teaching and research in the tenure decision, it is generally inappropriate to hire untenured faculty for appointments with substantial administrative duties.

1.8 NEGOTIATION WITH THE CANDIDATE

Revised: 07/26/04

Edited: 08/01/07

Every letter of offer to a probationary RTT, RCT, and RRT faculty member requires the prior approval of the dean of the college or the dean's designee. Negotiation with a particular candidate should not commence without prior approval of the dean unless the dean has directed otherwise.

1.9 HIRES OF REGIONAL CAMPUS FACULTY

Revised: 07/26/04

Edited: 08/01/07

The regional campus has primary responsibility for determining the position description for a faculty search, but it should consult with and seek agreement on the description with the chair of the unit that will serve as the TIU for the appointee.

The search committee for the position should include representation from both the regional campus and the prospective TIU. Candidates should be interviewed by, at a minimum, the regional campus dean, the chair of the TIU, and either the search committee or broader representation of both faculties.

A hiring decision requires agreement on the part of the TIU chair and regional campus dean. Negotiations with a candidate should not begin without such agreement. Both the TIU head and the regional campus dean must sign the letter of offer.

2.0 LETTERS OF OFFER

Revised: 03/25/05

Edited: 08/01/07

Check this page and the sample letters regularly to assure that the model texts in use in your unit are the most current version.

2.1 SENIOR RANK OR WITH PRIOR SERVICE CREDIT

Revised: 08/04/09

Edited: 08/04/09

Appointments at senior rank (associate professor or professor), with or without tenure in the case of RTT faculty members, or at junior rank (assistant professor) with prior service credit, require prior approval by the college dean and OAA of a draft letter of offer accompanied by the following required documentation:

- copy of the draft letter of offer
- candidate's CV
- five (5) letters from external evaluators; no more than half of these should be suggested by the candidate (see Volume 3, Section 3.7 for guidelines on external evaluations)
- reviews and recommendations by the:
 - TIU promotion & tenure committee
 - TIU chair
 - college dean (Consultation with the college promotion & tenure committee is at the discretion of the dean.)

2.1.1 SENIOR RANK: ASSOCIATE OR FULL PROFESSOR

Revised: 08/01/07

Edited: 08/01/07

Units must demonstrate that the candidate has credentials comparable to those of faculty promoted to that rank in the relevant track (RTT, RCT, RRT) within the university. Since the review process takes time, TIU heads should plan ahead in proposing such appointments. Strong supporting documentation consists of prior achievement of the requested rank in a peer or better unit in a peer or better institution. Achievement of the requested rank at a lesser unit/institution does not.

Units should follow the procedures for recommending appointment of the candidate contained within the unit's APT document, including a vote of the unit faculty if applicable and should also follow the procedures for recommending promotion with tenure contained within the unit's APT document, including a vote of the P&T committee. These review processes may run concurrently.

2.1.2 PRIOR SERVICE CREDIT (TENURE TRACK ONLY)

Revised: 08/01/07

Edited: 08/04/09

Units must demonstrate that the candidate has accomplishments that inspire confidence that the record will warrant a positive recommendation for promotion and tenure at the end of the shortened probationary period.

Units should follow the procedures for recommending appointment of the candidate contained within the unit's APT document, including a vote of the unit faculty if applicable, and should also follow the procedures for recommending granting prior service credit contained within the unit's APT document, including a vote of the P&T committee. These review processes may run concurrently.

Lack of prior service credit does not mean that an individual must serve a full probationary period at Ohio State. Earlier review is possible when justified by the record of accomplishment. Therefore prior service credit should not be requested unless a candidate demands it, and even in those circumstances the unit should discourage the

candidate. Often faculty members with prior service credit experience slowed productivity during the first year or two, resulting in a marginal record at the time of the mandatory review. Prior service credit may be especially problematic for faculty whose prior experience was at a non-peer institution.

3.0 DUAL CAREER HIRING PROGRAM

Revised: 08/04/09

Edited: 08/04/09

The successful recruitment of well-qualified faculty often requires that the university must accommodate a dual-career couple. In these instances, OAA expects deans and department chairs to cooperate willingly, constructively and in good faith with the hiring unit for the target candidate to accommodate the other half of the academic couple. In some cases, OAA is able to assist units making such hires through its Dual Career Hiring Program. OAA provides cash to cover one third of the salary of the partner following the targeted hire for the first three years of the appointment. The other two thirds of the salary and all of the benefits are split between the units of the targeted hire and the partner hire respectively. Dual career requests for additional cost-sharing will be evaluated on a case by case basis.

The university does not expect any department/college to hire candidates that do not meet the same quality standards as candidates hired in the receiving department.

The process will be conducted with all deliberate speed to reach a final agreement in time to allow a successful recruitment of the target candidate.

4.0 EMERGENCY LOAN FUND FOR NEW FACULTY

Revised: 05/01/08

Edited: 08/04/09

The Ohio State University Emergency Loan Fund for New Faculty is available upon request to assist newly appointed regular faculty during their first quarter on campus in meeting expenses associated with their move to Columbus. Although these resources are limited, the university attempts to make emergency loans readily available to ease the financial burden of relocating until first paychecks are received and local credit can be established. Each new faculty member is eligible to borrow up to \$1,500.

The program is administered through Student Loan Services. This revolving fund is available on a first come, first serve basis. New loans are awarded as previous recipients repay their loans. The loan is interest free.

Because this is a revolving fund, individuals are required to repay the loan through payroll deduction beginning with their January paycheck. There will be a deduction of \$300 per paycheck with the last payment being deducted in May. Individuals may pay off the loan earlier if they like so that others may borrow from the fund.

The applicant must complete an application and obtain the appropriate signatures in their college. Once these signatures are obtained, the application should be forwarded to Bobbie Houser in OAA. Normal processing of the application should result in the check being available in three to five days upon receipt of the completed application in OAA. When the check is ready the new faculty member will be notified and given instructions on where to pick up the check. At that time the individual will be required to sign a form expressly authorizing Ohio State to deduct \$300 per month from his/her paycheck with the last payment being deducted in May.

5.0 APPOINTMENT OF FOREIGN NATIONALS

Revised: 08/04/09

Edited: 08/04/09

It is becoming more difficult to obtain permanent residency status and may take longer than anticipated. The university has no obligation to continue the probationary appointment of an individual who fails to pursue permanent residency status in a timely way. TIU heads should monitor closely the efforts of untenured foreign nationals to obtain permanent residency.

The university does not grant tenure in the absence of permanent residency. Individuals with delays in achieving permanent residency status should consult with the vice provost for academic policy and faculty resources.

5.1 TENURE TRACK APPOINTMENTS AT SENIOR RANK (REVIEWED AND APPROVED FOR HIRE WITH TENURE)

Revised: 05/01/08

Edited: 05/05/08

Units must inform persons approved for associate professor with tenure or professor with tenure in the letter of offer that although they have been reviewed and approved for tenure, they must obtain permanent residency before tenure can be awarded. At the time of hire, individuals hired as associate professor with tenure pending or professor with tenure pending who do not have permanent residency have five years to obtain permanent residency.

If an individual hired as associate professor with tenure pending or professor with tenure pending has not obtained permanent residency within five years of being hired, the unit may request that s/he be converted to visiting faculty status at the beginning of the following academic year. This requires the approval of both the college and OAA. S/He will be subject to all policies applicable to visiting positions during this period, including annual renewal of the appointment and possible termination of the appointment at the end of each year.

These faculty members may remain in visiting faculty-BE (with benefits) status for no more than three years. If permanent residency has not been obtained at the end of three years, the university will terminate their employment.

The unit should send appropriate documentation to OAA when permanent residency has been granted. The tenure effective date will be the first of the month in which the tenure action is approved by the BOT, after permanent residency documentation has been submitted.

5.2 TENURE TRACK PROBATIONARY APPOINTMENTS, REGARDLESS OF RANK (HIRE WITHOUT TENURE)

Revised: 7/01/09

Edited: 08/04/09

Probationary RTT faculty must be informed in the letter of offer that permanent residency status must be obtained before tenure can be awarded, should their mandatory tenure review be successful.

TIUs may not review for promotion and/or tenure probationary faculty lacking permanent residency status prior to the scheduled mandatory tenure review year. Therefore foreign nationals in probationary positions must be extremely diligent in pursuing permanent residency status.

TIUs may proceed with a mandatory review for nonresident probationary faculty in the scheduled review year, and tenure can be awarded at this point. But the university will not grant tenure, if recommended, until the probationary faculty member obtains permanent residency status.

OAA will convert these faculty members to visiting faculty status at the beginning of the academic year following the review year. They will be subject to all policies applicable to visiting positions during this period, including annual renewal of the appointment and possible termination of the appointment at the end of each year.

These faculty members may remain in visiting faculty-BE (with benefits) status for no more than three years. If permanent residency status has not been obtained at the end of three years, the university will terminate their employment.

When these faculty members obtain permanent residency status subsequent to the date on which promotion and tenure would have been effective had they held such status, the Board of Trustees action will determine the actual effective date of promotion and tenure and any accompanying salary increase. Under no circumstances will the effective date be retroactive.

6.0 HIRING FACULTY FROM OTHER INSTITUTIONS AFTER APRIL 30

Revised: 05/01/08

Edited: 05/01/08

OAA will not approve letters of offer dated on or after May 1 to faculty holding a tenure track appointment at another AAU institution unless the letter is accompanied by evidence that the other institution has granted such permission.

7.0 CHANGES IN APPOINTMENT

Revised: 07/26/04

Edited: 08/01/07

7.1 TRANSFER OF TENURE INITIATING UNIT

Revised: 07/26/04

Edited: 08/01/07

The concept of a TIU and the circumstances under which a RTT faculty member may be considered for transfer to a new TIU are described, along with the necessary approvals, in Faculty Rule 3335-6-06.

Approval of the transfer by OAA is dependent on the establishment of mutually agreed upon arrangements between the administrators of the affected academic units, including the deans(s), and the faculty member.

An MOU signed by all parties, including OAA, must describe in detail the arrangements of the transfer. Since normally the transferring faculty member will fill an existing vacancy in the receiving unit, the MOU will describe the resources supporting the position, including salary, provided by the receiving unit.

Rarely will a faculty line be moved from one unit to another to enable a voluntary transfer. To do so would effectively downsize one unit and enlarge another without regard for university priorities and programmatic needs.

The review schedule of probationary RTT faculty is not altered by transferring TIU. Requests for exceptions due to special circumstances must be submitted to OAA before the MOU is finalized.

7.2 TRANSFER FROM TENURE TRACK TO REGULAR CLINICAL OR REGULAR RESEARCH TRACK

Revised: 07/26/04

Edited: 08/01/07

RTT faculty who transfer to another track are required to resign their tenure track position, relinquishing tenure if applicable.

Such transfers are initiated for consideration only upon the written request of the faculty member. Clear evidence must be offered of a change in the individual's career goals and expectations, duties, and activities.

The following Faculty Rules describe the circumstances under which such a transfer may be considered and approved:

- RTT to RCT, Faculty Rule 3335-7-09
- RTT to RRT, Faculty Rule 3335-7-38

Transfer from the RCT or RRT to the RTT is not permitted (see Faculty Rules 3335-7-10 and 3335-7-39 respectively). Faculty may apply for RTT positions and compete in regular national searches for such positions.

7.3 REDUCTION IN FTE

Revised: 03/25/05

Edited: 08/01/07

7.3.1 REGULAR TENURE TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

If a part-time appointment was not included in the terms of hire as stated in the letter of offer, RTT who desire a reduced appointment (less than full-time but not less than 50%), whether temporary or permanent, must consult with the TIU head.

RTT faculty are defined in Faculty Rule 3335-5-19 (A) as holding an appointment of 50% FTE or greater. Persons with a regular faculty title on an appointment of 49% FTE or less are auxiliary (non-regular) faculty.

Upon the faculty member's request, the TIU head, with the approval of the college dean has the authority to grant a reduction in FTE. In colleges without units, the dean has final authority. The letter directed to the dean should state all relevant information (the amount of the reduction, when it will take effect, whether it is permanent or temporary).

7.3.1.1 DEFINITIONS

Revised: 03/25/05

Edited: 08/01/07

Temporary reduction: a temporary reduction has a specified end date with a guarantee of return to the previous FTE.

Permanent reduction: a permanent reduction is one without a specified end date. In this situation the faculty member must understand that no right to a future change of FTE is assumed.

7.3.2 PROBATIONARY TENURE TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

A reduction in FTE does not involve an automatic extension of the probationary period, even though the projected revised dates may be mentioned in the letter approving the reduction, as is often the case. Probationary RTT faculty whose appointment is less than full-time but not less than 50% may request an extension of the probationary period in accordance with Faculty Rule 3335-6-03 (F).

By policy OAA does not approve extensions in advance. Rather, during the second year of a faculty member's reduced appointment, OAA will approve an extension of one year, for example, in recognition of two years of service at 50% FTE. At the appropriate time a letter requesting approval of the extension is forwarded by the TIU head to the dean and then OAA.

For probationary faculty, the letter directed to the final level of approval should state (in addition to the amount of the reduction, when it will take effect, and whether it is permanent or temporary) a projected revision of the review schedule and the projected year in which the adjusted Fourth-Year Review would fall (if the Fourth-Year Review has not already occurred).

7.3.3 REGULAR CLINICAL AND RESEARCH TRACK FACULTY

Revised: 03/25/05

Edited: 08/01/07

RCT and RRT faculty who wish to renegotiate their FTE during a contract period must consult with the TIU head. The agreement of the parties who initially approved the appointment is required to approve a change in FTE.

7.4 12- AND 9-MONTH APPOINTMENT CONVERSIONS

Revised: 07/26/04

Edited: 08/01/07

7.4.1 CONVERSION RATIO

Revised: 07/26/04

Edited: 08/04/09

Faculty who do not hold an administrative appointment will normally convert between a 12- and a 9-month appointment using a 12/9 or a 9/12 salary conversion ratio. Any other arrangement requires the approval of OAA.

See Chapter 5, Section 3.0 on faculty extra compensation for information regarding faculty who step down from an administrative appointment.

7.4.2 VACATION TIME

Revised: 07/26/04

Edited: 08/01/07

When a faculty member converts from a 12- to a 9-month appointment, all accrued vacation is forfeited.

7.5 TRANSFER OF CAMPUS

Revised: 07/26/04

Edited: 08/01/07

The circumstances under which a faculty member may be considered for a transfer from one campus to another are described in Faculty Rule 3335-6-07.

The provost's approval of the transfer is dependent on the establishment of a mutually agreed upon financial arrangement between administrators of the affected academic units, including the dean (s).

CHAPTER 5 COMPENSATION

1.0 PRINCIPLES

Revised: 08/04/09

Edited: 08/04/09

Compensation decisions should support the recruitment, performance, and retention of high-quality faculty and staff.

Units must offer benefits to RTT, RCT, and RRT faculty.

The compensation rate for individual positions is primarily established by relevant competitive markets, as well as the impact of individual positions on the unit's mission, as feasible within the unit's budget. Compensation rates for individuals should vary with the credentials and performance of individuals holding the positions. Compensation decision makers should monitor equity patterns across groups of similarly employed individuals and address observed inequities in a timely way.

Step, across-the-board, longevity, cost-of-living, or other increases indicative of minimum entitlements may have an adverse effect on equity by negating appropriate variation among individuals. Such increases are not a part of the university's compensation strategy except in extraordinary circumstances.

Salary increase calculations based on actual dollars rather than on percentages of pre-existing base salaries permit flexibility in addressing market considerations and equity. Unit heads should determine the actual dollar figure of an individual's compensation on the basis of performance and market considerations. Unit heads should then distribute annual salary increase in a way that allows the maximum number of faculty and staff to receive appropriate compensation.

One-time cash payments are permissible to reflect truly outstanding achievements on time-bound projects and/or to supplement the salary increase process in recognizing unusually outstanding performance. With few exceptions (such as a bona-fide variable compensation program), a one-time cash payment should not be used as a substitute for a permanent salary increase where the latter is justified. For budgetary reasons, the senior vice president for business and finance may in certain years prohibit such payments; this decision will be conveyed to the council of deans as soon as possible during the compensation planning process.

Zero increases are appropriate in the following instances:

- Inadequate performance. In such instances the performance deficiencies should be documented and communicated to the individual throughout the performance cycle, to the extent permitted by available information.
- Failure by an individual to provide required documentation of his/her performance.
- Current salary substantially exceeds market or salaries of other individuals within the same unit with similar duties, levels of performance, and experience/qualifications.

Units may offer benefits to full-time, full academic year visiting faculty appointees who will be engaged in both teaching and research as an academic unit treats all individuals who meet the eligibility criteria equally. The offering unit must have the funds available to cover the cost of the benefits and should designate benefits-eligibility (BE) when entering the appointment in the HR System.

Also see Letters of Offer and the [Employee Benefit Program Eligibility Booklet](http://hr.osu.edu/policy/empben/empbenhome.htm) (<http://hr.osu.edu/policy/empben/empbenhome.htm>) of OHR specifically the section concerning regular faculty at 50% FTE or greater.

2.0 FACULTY EXTRA COMPENSATION

Revised: 05/01/08

Edited: 05/01/08

Supplemental compensation may not exceed 20% of the base salary per fiscal year. Supplemental compensation in excess of 20% of the base salary is rare and must be justified by unusual circumstances.

Supplemental compensation is for temporary work clearly beyond the faculty member's normal assignments, in an amount appropriate to the allocation of time necessary to complete the extra assignment. The extra assignment should be nonrecurring and clearly limited in time and scope.

Department chairs, school directors, deans, and other principal administrative officers (as defined in University Bylaws 3335-1-03) are ineligible for supplemental compensation per OHR Policy 3.35.

Faculty compensation in excess of the base salary may take the form of:

- supplemental compensation
- off-duty quarter compensation for 9-month faculty
- one-time cash payment
- administrative compensation
- external consulting fee

All arrangements for extra compensation require administrative approval. Units must secure approvals before the extra work is carried out in order for the faculty member to be compensated for the work.

2.1 REQUIRED APPROVALS

Revised: 05/01/08

Edited: 05/01/08

Columbus campus: TIU head, college dean, and OAA.

Regional campus: Regional campus dean/director and OAA.

The relevant administrator(s) must consider whether the faculty member is fully and satisfactorily performing all responsibilities for which the base salary is paid, as well as the impact of the extra work on the performance of these responsibilities plus any concurrent extra compensation arrangements. Both the interest of the university and the university's responsibility as a public institution require that faculty who are underperforming in any aspect of their primary position not receive enhanced compensation.

2.2 OFF-DUTY QUARTER APPOINTMENT FOR 9-MONTH FACULTY

Revised: 07/26/04

Edited: 08/01/08

Off-duty quarter appointments for 9-month faculty may not exceed 2/9 of the base salary from university funds except for administrative attachments (see below). Supplemental compensation may not be used to exceed this limit.

Off-duty quarter appointments for 9-month faculty may not exceed 3/9 of the base salary from external grant and contract funds as long as the university funds portion does not exceed 2/9. Off-duty quarter compensation is paid in equal payments across the three months. Nine-month faculty earning 3/9 during the off-duty quarter are expected to be on duty during these three months.

2.3 ONE-TIME CASH

Revised: 07/26/04

Edited: 08/01/07

A one-time cash payment is generally an after-the-fact bonus for exceptional work on a non-continuing project that was not otherwise subject to extra compensation, or a negotiated bonus given upon the accomplishment of written goals. For additional information see OHR Policy 3.15.

3.0 ADMINISTRATIVE COMPENSATION

Revised: 05/01/08

Edited: 05/01/08

Major administrative assignments may entail additional compensation, appropriate to the magnitude of duties, in the form of a temporary administrative attachment and/or off-duty quarter appointment.

Administrative compensation is added at the beginning of the appointment and removed at its conclusion. The letter of offer must identify step-down arrangements for removing the administrative compensation. When a faculty member steps down from a 12-month administrative appointment to a 9-month faculty appointment, all accrued vacation is forfeited. See Chapter 5, Section 7.4 of this volume for information on converting between 9- and 12-month appointments.

3.1 REQUIRED APPROVALS

Revised: 07/26/04

Edited: 08/01/07

The dean (unless the prospective appointment is for the dean) and OAA.

3.2 ADMINISTRATIVE ATTACHMENTS

Revised: 08/04/09

Edited: 08/04/09

An administrative attachment may be treated as supplemental compensation only for administrative appointments less than one year in duration.

Administrative attachments may not exceed 10% of the base salary.

An administrative attachment may be included in an off-duty quarter appointment (see below) for 9-month faculty in an administrative position when justified by specific responsibilities associated with the appointment.

3.3 OFF-DUTY QUARTER APPOINTMENT

Revised: 07/26/04

Edited: 08/01/07

An off-duty quarter appointment may not exceed 2/9 of the base salary.

An off-duty quarter appointment may be appropriate for 9-month faculty in an administrative position. Off-duty quarter compensation may consist of a flat dollar amount or be computed in terms of ninths, not to exceed 2/9 of the base 9-month salary. It may or may not include an administrative attachment.

3.4 EXCEPTIONS

Revised: 08/04/09

Edited: 08/04/09

Exceptions to the administrative compensation policies stated here (the retention of administrative salary add-ons when an administrator returns to the faculty) will be considered on a case-by-case basis. Specific proposals should be forwarded to OAA for review.

4.0 PAID EXTERNAL CONSULTING

Revised: 07/26/04

Edited: 08/04/09

See the Senate Policy on Paid External Consulting (<http://oaa.osu.edu/SenatePolicies.php>).

4.1 REQUIRED APPROVALS

Revised: 07/26/04

Edited: 08/01/07

Deans: Provost.

Central administrators: President or provost (per reporting line).

Columbus campus faculty: TIU head and college dean.

Regional campus faculty: Regional campus dean/director.

4.2 EXTERNAL CONSULTING FEE

Revised: 07/26/04

Edited: 08/04/09

Although the university does not monitor the dollar amount of external consulting income, all consulting activity requires administrative approval. In considering whether to approve a consulting arrangement, the relevant administrator(s) should assure that:

- The faculty member's total involvement in extra work, both within and beyond the university, does not exceed one business day per week.
- The faculty member is performing all regular duties fully and satisfactorily.
- All potential conflict of interest issues are resolved.

See the Conflict of Commitment Policy (<http://oaa.osu.edu/SenatePolicies.php>) for additional information.

5.0 FACULTY PROFESSIONAL LEAVE

Revised: 08/01/07

Edited: 08/04/09

The base salary is reduced during a Faculty Professional Leave (FPL) by 1/3 over a three- or four-quarter leave. The reduced salary may be augmented by the types of extra compensation noted below subject to the following essential conditions:

- The level of the regular base salary is not exceeded.
- No general funds are involved in any amount.

- The activity to be compensated supports and does not interfere with the purposes of the FPL.

The faculty member, at his/her discretion, may augment his or her reduced salary by funds from external research grants or contracts or other non-general funds sources.

The unit, at the unit head's discretion, may augment the faculty member's reduced salary with development funds or other non-general funds sources.

Supplemental compensation during an FPL is usually inappropriate, as the extra work detracts from the purposes of the leave. Further, such extra work may be undertaken only if paid from non-general funds sources. Under no circumstances may units supplement an FPL-reduced salary by general funds.

5.1 PAID EXTERNAL CONSULTING DURING AN FPL

Revised: 05/01/08

Edited: 05/01/08

Paid external consulting during an FPL is usually inappropriate as the extra work detracts from the purposes of the leave. In addition to the regular approvals for paid external consulting, approval by OAA is required for paid external consulting during an FPL.

6.0 UNPAID LEAVE OF ABSENCE

Revised: 07/26/04

Edited: 08/01/07

A faculty member on a Board of Trustees (BOT)-approved Unpaid Leave of Absence is by definition not in active pay status. Consequently, pay for work is inappropriate as it returns the faculty member to active pay status in violation of the BOT action. The faculty member should give full consideration to this constraint before seeking approval for an unpaid leave. An option to consider in place of an unpaid leave is a temporary reduction in appointment, but a reduction below 50% will entail loss of tenure (Faculty Rule 3335-5-03).

7.0 INCOME GENERATING PROGRAMS

Revised: 07/26/04

Edited: 08/01/07

Colleges that offer income generating educational programs to off-campus offices may negotiate agreements with OAA that allow exceptions to the 20% cap on supplemental compensation, where paying market rates for such activity would necessitate exceeding the cap for some individuals.

The time commitment for this and all other extra compensation must not exceed one business day per week even if the 20% compensation cap is exceeded.

Colleges must forward requests for such an exception to OAA for approval. The proposal requesting the exception should contain the following information:

- description of the income-generating program
- supporting data to justify the need for the exception
- estimate of the number of faculty likely to have supplemental compensation exceeding the cap
- extent to which the cap will be exceeded
- formal plan for monitoring faculty time commitment and performance in regular duties

8.0 COUNTER OFFERS

Revised: 05/01/08

Edited: 08/04/09

Highly productive faculty members are attractive colleagues to other institutions. When a department wants to retain a faculty member who receives an offer from another institution, a counter offer may be appropriate. The department is not obligated to provide a counter offer if circumstances do not warrant it. Requests for support from OAA for a counter offer will be considered on a case by case basis. Use the Counter Offer/Off-Cycle Salary Increase form (http://oaa.osu.edu/OAAP_PHandbook_Forms.php) to request OAA support.

All salary counter offer proposals, as well as requests for off-cycle promotion as part of a counter offer, require prior approval by the dean and OAA.

8.1 FUNDING

Revised: 08/04/09

Edited: 08/04/09

OAA will fund up to 50% of the increase in salary. OAA's contribution consists of cash for three years only. If the counter offer includes a request for promotion, OAA will fund a promotion increase in line with current guidelines. Except for promotion increases, central funding for counter offers is not guaranteed. Departments must make a request for such funding and include a copy of the letter of offer from the other institution as part of the documentation.

8.2 EFFECTIVE DATE

Revised: 07/26/04

Edited: 08/01/07

Salary increases associated with counter offers will normally be effective at the beginning of the next appointment year (July 1 for 12-month faculty and October 1 for 9-month faculty). OAA will not provide its portion of the funding until that time.

Where approval is given for an immediate salary increase, the unit must cover the cost from its own funds.

8.3 PROMOTION

Revised: 07/26/04

Edited: 08/01/07

Requests for off-cycle promotion as part of a counter offer must include documentation comparable to that prepared during a regular review before it is submitted to OAA, that is, review at the TIU level followed by review by the dean. Consultation with the college P&T committee is at the discretion of the dean.

9.0 SALARY EQUITY AND MARKET ADJUSTMENTS

Revised: 07/26/04

Edited: 08/01/07

The unit head initiates a proposal to provide a salary equity or market increase. A proposal to provide a salary equity increase may also be the result of review under the Faculty Salary Equity Appeals Process.

Equity and market increases are normally provided at the beginning of the individual's next appointment year (July 1 for 12-month faculty and October 1 for 9-month faculty) and are funded out of regular raise monies.

A unit head may request permission to make an immediate mid-year adjustment when the need for such an adjustment is established well in advance of the beginning of the next appointment year.

It is inappropriate for a unit head to propose or to offer retroactive adjustments. OAA will not approve retroactive salary equity and market increases.

9.1 REQUIRED APPROVALS

Revised: 07/26/04

Edited: 08/01/07

Columbus Campus: TIU head, college dean, and OAA
Regional Campus: Regional campus dean and OAA

The request for such an adjustment must include both an adequately detailed explanation to establish that an inequity or substantial deviation from market salary exists and why it was not possible to make the adjustment at the normal time. Units should not inform a faculty member that an equity or market adjustment will be made before all the required approvals have been obtained.

9.2 PAY RATE CHANGES IN HR SYSTEM

Revised: 07/26/04

Edited: 08/01/07

Any pay adjustment that will carry the Equity/Market/Performance (EQU) Reason Code should not be entered into the HR system until the above approvals have been obtained.

10.0 MID-YEAR SALARY INCREASES

Revised: 07/26/04

Edited: 08/01/07

Salaries should be adjusted at the beginning of each faculty member's annual appointment year (July 1 for 12-month employees and October 1 for 9-month faculty) except in unusual circumstances. The request to give a midyear increase must include an explanation both for the increase and for why it was not possible to make the adjustment at the normal time. Units should not inform a faculty member that a midyear increase will be given before all the required approvals have been obtained.

It is inappropriate for a unit head to propose or to offer retroactive adjustments. OAA will not approve retroactive salary equity and market increases.

10.1 REQUIRED APPROVALS

Revised: 07/26/04

Edited: 08/01/07

Columbus Campus: TIU head, college dean, and OAA
Regional Campus: Regional campus dean and OAA

10.2 PAY RATE CHANGES IN HR SYSTEM

Revised: 07/26/04

Edited: 08/01/07

Units should not enter any midyear salary increase that will carry the Equity/Market/Performance (EQU) Reason Code into the HR system until approvals have been obtained.