

OFFICE OF ACADEMIC AFFAIRS

Policies and Procedures Handbook: Volume 1**Chapter 1: Governance Documents**

1.0 PATTERN OF ADMINISTRATION	4
1.0.1 DEPARTMENTS AND SCHOOLS	4
1.0.2 COLLEGES.....	5
1.1 SUGGESTED OUTLINE.....	6
1.2 DEPARTMENT MISSION.....	7
1.3 ACADEMIC RIGHTS AND RESPONSIBILITIES	7
1.4 FACULTY	7
1.5 ORGANIZATION OF DEPARTMENT SERVICES AND STAFF.....	8
1.6 OVERVIEW OF DEPARTMENTAL ADMINISTRATION AND DECISION-MAKING.....	8
1.6.1 CHAIR.....	8
1.6.2 COMMITTEES	8
1.7 FACULTY MEETINGS	9
1.8 DISTRIBUTION OF FACULTY DUTIES AND RESPONSIBILITIES.....	9
1.8.1 SPECIAL ASSIGNMENTS	10
1.8.2 GUIDELINES FOR DETERMINING FTE EXCEPTIONS TO FACULTY APPOINTMENTS POLICY (COLLEGES ONLY)..	10
1.9 COURSE OFFERINGS AND TEACHING SCHEDULES	10
1.10 ALLOCATION OF DEPARTMENTAL RESOURCES	10
1.11 LEAVES AND ABSENCES	10
1.12 SUPPLEMENTAL COMPENSATION AND PAID EXTERNAL CONSULTING ACTIVITY	11
1.13 FINANCIAL CONFLICTS OF INTEREST	11
1.14 GRIEVANCE PROCEDURES	11
2.0 APPOINTMENTS, PROMOTION & TENURE DOCUMENT	12
2.0.1 REQUIREMENTS	12
2.0.2 COLLEGE APT DOCUMENTS	13
2.1 PRELIMINARY INFORMATION	14
2.1.1 REQUIRED OUTLINE	14
2.1.2 PREAMBLE.....	16
2.1.3 DEPARTMENT MISSION.....	16
2.2 DEFINITIONS	16
2.2.1 COMMITTEE OF THE ELIGIBLE FACULTY.....	16
2.2.2 PROMOTION AND TENURE COMMITTEE	17

2.2.3 QUORUM.....	17
2.2.4 RECOMMENDATION FROM THE COMMITTEE OF THE ELIGIBLE FACULTY	18
2.3 APPOINTMENTS.....	19
2.3.1 CRITERIA	19
2.3.1.1 TENURE-TRACK FACULTY.....	19
2.3.1.2 TENURE-TRACK FACULTY AT A REGIONAL CAMPUS.....	20
2.3.1.3 CLINICAL FACULTY.....	20
2.3.1.4 RESEARCH FACULTY.....	20
2.3.1.5 ASSOCIATED FACULTY.....	20
2.3.1.6 COURTESY APPOINTMENTS FOR TENURE-TRACK, CLINICAL, OR RESEARCH FACULTY	21
2.3.2 PROCEDURES	22
2.3.2.1 TENURE-TRACK FACULTY.....	22
2.3.2.2 TENURE-TRACK FACULTY AT A REGIONAL CAMPUS.....	22
2.3.2.3 CLINICAL FACULTY.....	23
2.3.2.4 RESEARCH FACULTY.....	23
2.3.2.5 ASSOCIATED FACULTY.....	23
2.3.2.6 COURTESY APPOINTMENTS FOR TENURE-TRACK, CLINICAL, OR RESEARCH FACULTY	23
2.4 ANNUAL REVIEWS PROCEDURES.....	23
2.4.1 PROBATIONARY TENURE-TRACK FACULTY	24
2.4.1.1 PROBATIONARY TENURE-TRACK FACULTY AT A REGIONAL CAMPUS	24
2.4.1.2 FOURTH-YEAR REVIEW	24
2.4.1.3 EXCLUSION OF TIME FROM THE PROBATIONARY PERIOD.....	24
2.4.2 TENURED FACULTY.....	24
2.4.3 TENURED FACULTY AT A REGIONAL CAMPUS.....	24
2.4.4 CLINICAL FACULTY.....	24
2.4.5 RESEARCH FACULTY	25
2.4.6 ASSOCIATED FACULTY.....	25
2.5 MERIT SALARY INCREASES AND OTHER REWARDS.....	25
2.5.1 CRITERIA	25
2.5.2 PROCEDURES	25
2.5.3 DOCUMENTATION.....	25
2.6 PROMOTION AND TENURE AND PROMOTION REVIEWS.....	25
2.6.1 CRITERIA	25
2.6.1.1 CITIZENSHIP, COLLEGIALLY, AND PROFESSIONAL ETHICAL BEHAVIOR	26
2.6.1.2 PROMOTION TO ASSOCIATE PROFESSOR WITH TENURE.....	26
2.6.1.3 PROMOTION TO ASSOCIATE PROFESSOR WITHOUT TENURE	26
2.6.1.4 PROMOTION TO PROFESSOR	26

2.6.1.5 REGIONAL CAMPUS FACULTY	27
2.6.1.6 CLINICAL FACULTY.....	27
2.6.1.7 RESEARCH FACULTY	27
2.6.2 PROCEDURES	27
2.6.2.1 REGIONAL CAMPUS FACULTY	28
2.6.2.2 NON-MANDATORY REVIEWS	28
2.6.2.4 EXTERNAL EVALUATION.....	28
2.6.2.5 MECHANICS	28
2.6.3 DOCUMENTATION	29
2.6.3.1 TEACHING.....	29
2.6.3.1.1 PEER EVALUATION OF TEACHING	29
2.6.3.1.2 STUDENT EVALUATION OF TEACHING	29
2.6.3.2 RESEARCH AND SCHOLARSHIP.....	30
2.6.3.3 SERVICE.....	30
2.7 APPEALS	31
2.8 SEVENTH-YEAR REVIEW	31
2.9 PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING.....	31
3.0 UPDATING OBSOLETE MATERIAL IN TIU GOVERNANCE DOCUMENTS.....	31

1.0 Pattern of administration

Revised: 05/01/08

1.0.1 Departments and Schools

Revised: 04/29/16

Faculty Rule 3335-3-35 requires chairs of departments and directors of schools (hereafter, chairs) to develop a 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 desirable for the chair and faculty to reach consensus on the document; however, the chair may have to implement changes without consensus.

The Office of Academic Affairs (OAA) expects newly appointed or reappointed chairs to complete the consultation process outlined in their 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 one year from the date they are appointed or reappointed. The current POA remains in effect until a new or revised one is approved by OAA. The vice provost for academic policy and faculty resources encourages chairs to submit drafts of POAs for consultation and advice. Formal submissions, however, should be submitted to OAA by chairs or their dean following college review and approval.

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.

The POA should not include content that overlaps material required in the department's Appointments, Promotion, and Tenure (APT) document. Redundant content in the POA and the APT Document serves no purpose and often results in inconsistencies.

The POA should 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 (<http://trustees.osu.edu/university/facultyrules>) and the rule number. If quoting from the rules is deemed essential, please clearly demarcate the quotation (indent and/or italicize).

The POA should include a cover page with college, department, or school name, date reviewed by faculty and dean. It should include a table of contents, and the document should be paginated. In order to promote consistency across the university, the university's editorial style guide found at <http://www.apstylebook.com/osu/> should be followed. OAA encourages units to make their POA available on their websites and maintains a digital collection of governance documents on its own website at <https://oaa.osu.edu/governance.html>.

OAA offers a suggested (not required) outline for a POA (see Section 1.1 below). 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 sample POA on the OAA website at <http://oaa.osu.edu/policiesprocedureshandbook.html>. To the extent possible, the sample 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 sample POA. Sections of italicized text in the prototype document are notes and comments; they should not appear in a department's POA.

Please note that material required in the APT Document (see Section 2.0: Appointments, Promotion and Tenure Document) is not included in the POA outline. For ease of use, the POA and APT should be maintained as separate documents.

Formal department guidelines not included in the POA must be submitted as appendices for college and OAA review when the POA is submitted for review and approval. Chairs should refer to the university's guidelines on policies (<http://policies.osu.edu/>) when considering implementing a department guideline not covered in this handbook.

1.0.2 Colleges

Revised: 02/15/13; 07/20/17

Faculty Rule 3335-3-29 requires college deans to develop a pattern of administration (POA) document in consultation with the faculty. The rule requires newly appointed or reappointed deans to complete the consultation process outlined in their current POA and to put in place a new or reaffirmed POA.

OAA expects that deans will submit a new or reaffirmed POA no later than one year from the date they are appointed or reappointed. The current POA remains in effect until a new or revised one is approved by OAA.

Colleges must include at a minimum an introductory statement as well as sections on the college mission; types of faculty appointments and their respective governance rights; organization of college services and staff; overview of college administration; description of college faculty governance structure; guidelines governing faculty responsibilities and teaching assignments; guidelines governing allocation of college resources; grievance procedures; and a statement recognizing in principle the presumption favoring faculty rule on those matters in which faculty have primary responsibility, including: curriculum, subject matter and methods of instruction, research, faculty status (appointment, promotion and tenure of faculty), and those aspects of student life that relate to the educational process.

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. The other is a salary appeals committee (see Volume 1, Chapter 3). 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 (<http://oaa.osu.edu/academicorganizationcurriculumhandbook.html>) for guidelines on establishing a college center. New centers will not be approved until this section of the POA has been approved by OAA.

Colleges that wish to establish college distinguished professorships must include criteria for review and procedures for awarding such distinctions. See the Faculty Appointments Policy (<http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>.)

Colleges are encouraged to provide guidelines on parental modification of duties to assist department chairs in making flexible arrangements for tenure-track faculty seeking accommodation for childbirth/adoption.

College guidelines for approval of a faculty member's use of a textbook(s) or other material authored by that faculty member and the sale of which results in a royalty being paid to him or her should be formalized in the POA. See Office of Academic Affairs *Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.8: Use of self-authored material*, (<http://oaa.osu.edu/handbook.html>).

Formal college guidelines not included in the POA must also be submitted as appendices for OAA review when the POA is submitted for review and approval. Deans should refer to the university's guidelines on policies (<http://policies.osu.edu/>) when considering implementing a guideline not already covered in this handbook.

1.1 Suggested outline

Revised: 06/22/12

This outline uses "department" as the example.

Pattern of Administration for the Department of XXX

Cover Page

Date reviewed by department and college

Table of contents

- I. Introduction
- II. Department Mission
- III. Academic Rights and Responsibilities
- IV. Faculty
 - A. Distinguished Professor (colleges only)
- V. Organization of Department Services and Staff
- VI. Overview of Departmental Administration and Decision-Making
- VII. Department Administration
 - A. Chair

- B. Committees
- C. Centers (colleges only)
- VIII. Faculty Meetings
- IX. Distribution of Faculty Duties and Responsibilities
 - A. Tenure-track Faculty
 - i. Special Assignments
 - B. Clinical Faculty
 - C. Research Faculty
 - D. Associated Faculty
 - E. Parental Modification of Duties
- X. Course Offerings and Teaching Schedules
- XI. Allocation of Department Resources
- XII. Leaves and Absences
 - A. Discretionary Absence
 - B. Absence for Medical Reasons
 - C. Unpaid Leave of Absence
 - D. Faculty Professional Leave
- XIII. Supplemental Compensation and Paid External Consulting Activity
- XIV. Financial Conflicts of Interest
- XV. Grievance Procedures
 - A. Salary Grievance
 - B. Faculty Misconduct
 - C. Faculty Promotion and Tenure Appeals
 - D. Sexual Harassment
 - E. Student Complaints
 - F. Code of Student Conduct
 - G. Professional Student Honor Code

1.2 Department mission

Revised: 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. (See Section 2.1.3: Department Mission, for additional information on the mission statement.)

1.3 Academic rights and responsibilities

Revised: 08/01/07

Include the link to the university's reaffirmation of academic rights and responsibilities, <http://oaa.osu.edu/rightsandresponsibilities.html>.

1.4 Faculty

Revised: 12/18/13; 07/20/17

Describe who is considered a faculty member in the department for voting purposes and for purposes of consultation (if the two are different). Departments differ in how they handle granting voting rights to joint appointments (both salaried and non-salaried). Joint-appointed faculty may vote on promotion and tenure cases only in their TIU (see Faculty Appointments Policy, <http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>). 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 clinical faculty 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. Clinical faculty may not participate in or vote on tenure-track P&T decisions.

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

With the approval of the tenure-track faculty, associated faculty may be given governance rights within the department. Emeritus faculty may not be given voting rights, but may be asked to consult with department committees.

Colleges and departments should determine a process for a faculty member to request permission to use a textbook(s) or other material that is authored by that faculty member and sale of which results in a royalty being paid to him or her.

1.5 Organization of department services and staff

Revised: 08/26/04

In larger departments with many support personnel, OAA recommends a description of the department's offices and staff and their functions. 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

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 vice, associate, or assistant chairs, describe these positions in this section.

1.6.2 Committees

Revised: 01/01/11

Develop 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. 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. When possible, probationary faculty members' committee responsibilities should be limited to allow acclimation to the university.

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

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.

In accordance with Faculty Rule 3335-6-04(B)(1), departments are required to have a committee of the eligible faculty that votes on personnel matters. 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 other department committees used across the university include committees on awards, curriculum, book selection, 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.

The chair is an *ex officio* member of every committee and is a non-voting member of the committee of eligible faculty.

1.7 Faculty meetings

Revised: 08/04/09

Departments and colleges should include 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 2.2.3: Quorum, and Section 2.2.4: Recommendation from the Committee of the Eligible Faculty, for guidance on quorum, voting, and abstentions). Note that Faculty Rule 3335-5-18 requires that faculty meet at least once each semester of the academic year.

1.8 Distribution of faculty duties and responsibilities

Revised: 8/01/14

OAA requires that every college, school, department, and regional campus have guidelines on the distribution of faculty duties and responsibilities. For colleges with departments, the college guidelines should establish minimum expectations for all of its units. See Volume 1, Chapter 2, Section 1.4.3.1:

Teaching, for additional information on unit guidelines on the distribution of faculty duties and responsibilities.

Include guidelines for tenure-track, clinical, research, and associated faculty.

Include department expectations regarding faculty office hours.

Describe any department guidelines that supplement college guidelines and university policies with respect to conflicts of commitment.

If the unit has no supplemental guidelines, direct the reader to the Faculty Conflict of Commitment Policy (<http://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>).

1.8.1 Special assignments

Revised: 01/01/11

Describe any department guidelines that supplement college guidelines and university policy with regard to Special Assignments (SAs). See <http://oaa.osu.edu/assets/files/documents/specialassignment.pdf>.

1.8.2 Guidelines for determining FTE exceptions to Faculty Appointments Policy (colleges only)

Revised: 06/15/15

Edited: 06/15/15

The Faculty Appointments Policy requires colleges to have formal guidelines for addressing types of courses that warrant a change to the credit-hour FTE equivalency for lecturers or other associated/adjunct faculty appointments (four courses per semester for full-time teaching). These guidelines must be written into the college POA and approved by OAA. The guidelines must take into account reasonable estimates on the number of hours spent in the classroom, preparing, grading, answering student email, and holding office hours. Colleges can approve additional pay for a course that has a limited or one-time increase in effort, such as a first-time preparation or slightly larger class size.

1.9 Course offerings and teaching schedules

Revised: 08/26/04

Describe how the unit's course offering schedule (see Volume 1, Chapter 2, Section 1.5: Course Scheduling) and faculty teaching schedule are developed (see Volume 1, Chapter 2, Section 1.4.3: Duties and Responsibilities). Also refer the reader to the OAA Handbook at <http://oaa.osu.edu/handbook.html>.

1.10 Allocation of departmental resources

Revised: 08/26/04

Describe any department guidelines with respect to travel funds, space assignments, and other resources other than merit salary increases, which are discussed in the APT Document.

1.11 Leaves and absences

Revised: 05/01/08

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

- Faculty Professional Leave (FPL), <http://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>
- Unpaid Leave of Absence (LOA), <http://hr.osu.edu/policy/policy645.pdf>
- Entrepreneurial Leave of Absence, <http://hr.osu.edu/policy/policy645.pdf>

If the department has no supplemental guidelines, at minimum, list each topic and direct the reader to the appropriate university policy or Faculty Rule.

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

1.12 Supplemental compensation and paid external consulting activity

Revised: 08/26/04; 07/20/17

Describe any department guidelines that supplement college guidelines 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 lower limits are appropriate to their circumstances.

If the department has no supplemental guidelines, at minimum list each topic and direct the reader to the Faculty Compensation Policy (<http://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>) and the Faculty Paid External Consulting Policy (<http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>). For purposes of the Faculty Paid External Consulting Policy and unless otherwise set forth in the departmental/college guidelines or POA, a “nominal honorarium” for external professional activities is that which is considered “usual and customary” in higher education and the specific field of study. A guideline may include a maximum honorarium figure, with approval required for higher honoraria.

1.13 Financial conflicts of interest

Revised: 08/26/04

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

If the unit has no supplemental guidelines, at minimum list each topic and direct the reader to the Faculty Financial Conflict of Interest Policy (<http://oaa.osu.edu/assets/files/documents/FinConfInt.pdf>).

1.14 Grievance procedures

Revised: 01/01/11

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 (<https://hr.osu.edu/public/documents/policy/policy110.pdf>)

- OHR Policy 1.15, Sexual misconduct, sexual harassment and relationship violence policy (<https://hr.osu.edu/public/documents/policy/policy115.pdf>)
- 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 (<http://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>)
- Code of Student Conduct (<http://trustees.osu.edu/rules/code-of-student-conduct/>)
- Professional student honor code (if applicable)

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

2.0 Appointments, Promotion & Tenure Document

Revised: 03/25/05

2.0.1 Requirements

Revised: 08/01/14

Faculty Rule 3335-6-02 and Faculty Rule 3335-3-35 require that every TIU have an APT document describing the criteria and procedures for making recommendations regarding the appointment, advancement, and reward of faculty.

OAA expects newly appointed or reappointed TIU heads 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 one year from the date they are appointed or reappointed. Specific sections of the document can be revised as the need arises. Such revisions must be approved by the college and OAA and should be submitted electronically with the specific revision highlighted. The current APT document remains in effect until a new or reaffirmed one is approved by OAA. Units are responsible for providing a copy of the current APT document to tenure-track, clinical, and research faculty with the letter of offer.

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; and
- 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. The vice provost for academic policy and faculty resources encourages chairs to submit drafts of APT documents for consultation and advice. Formal submissions, however, should be submitted to OAA following the college dean's review and approval; and

- follow the required outline exactly, except for sections that do not pertain to the unit (e.g., Columbus campus units that do not appoint clinical or research faculty or faculty to the regional campuses do not need to include information relevant to those appointments).

Because a common format is needed to facilitate reference to APT documents by P&T reviewing bodies, follow the required outline (see Section 2.1.1 below) 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 (<http://trustees.osu.edu/university/facultyrules>) and the rule number. If quoting from the rules is deemed essential, please clearly demarcate the quotation (indent and/or italicize).

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: Updating Obsolete Material, for a summary of commonly found obsolete references that must be corrected before governance documents are submitted for review.

Include a cover page with college or department name and dates reviewed by faculty and dean. 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 <http://www.apstylebook.com/osu/>. OAA encourages units to make their APT documents available on their websites and to retain copies for 10 years. OAA maintains a digital collection of governance documents on its own website (<http://oaa.osu.edu/governance.html>). Note that the officially approved version of the document is the one posted on the OAA website. TIU heads should be diligent in seeking college and OAA approval when making changes to their APT Document.

A sample APT Document can be found on the OAA website at <http://oaa.osu.edu/policiesprocedureshandbook.html>. 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: 08/01/14

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 their 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. Specific sections of the document can be revised as the need arises. Such revisions must be approved by the college and OAA

and should be submitted electronically with the specific revision highlighted. The current APT document remains in effect until a new or reaffirmed one is approved by OAA.

The 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 Preliminary information

Revised: 01/01/11

2.1.1 Required outline

Revised: 01/01/11

This outline uses "department" as the example. Sections on faculty at a regional campus should be included only by those units with regional campus faculty members. Sections on clinical and research faculty should be included only by units approved for those types of faculty appointments.

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

Cover Page

- I. Preamble
- II. Department Mission
- III. Definitions
 - A. Committee of the Eligible Faculty
 1. Tenure-track faculty
 2. Clinical faculty (if approved)
 3. Research faculty (if approved)
 4. Conflict of interest
 5. Minimum composition
 - B. Promotion and Tenure Committee
 - C. Quorum
 - D. Recommendation from the Committee of the Eligible Faculty
 1. Appointment
 2. Reappointment, promotion and tenure, promotion, and contract renewal
- IV. Appointments
 - A. Criteria
 1. Tenure-track faculty
 2. Tenure-track faculty at regional campus
 3. Clinical faculty
 4. Research faculty
 5. Associated faculty
 6. Courtesy appointments for tenure-track, clinical, or research faculty

- B. Procedures
 1. Tenure-track faculty
 2. Tenure-track faculty at a regional campus
 3. Clinical faculty
 4. Research faculty
 5. Associated faculty
 6. Courtesy appointments for tenure-track, clinical, or research faculty

- V. Annual Review Procedures
 - A. Probationary tenure-track faculty
 1. Faculty at a regional campus (if applicable)
 2. Fourth-Year Review
 3. Exclusion of time from probationary period

 - B. Tenured faculty

 - C. Tenured faculty at a regional campus

 - D. Clinical faculty (if applicable)

 - E. Research faculty (if applicable)

- 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 associate professor without tenure (Medicine only)
 3. Promotion to professor
 4. Faculty at a regional campus (if applicable)
 5. Promotion of clinical faculty (if applicable)
 6. Promotion of research faculty (if applicable)

 - B. Procedures
 1. Tenure-track faculty
 2. Tenure-track faculty at a regional campus (if applicable)
 3. Clinical faculty (if applicable)
 4. Research faculty (if applicable)
 5. Associated faculty
 6. Courtesy appointments

 - C. Documentation
 1. Teaching
 2. Scholarship/Creative Works
 3. Service

- VIII. Appeals

IX. Seventh-Year Review

X. Procedures for Student and Peer Evaluation of Teaching

2.1.2 Preamble

Revised: 03/25/05

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

2.1.3 Department mission

Revised: 03/25/05

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; and
- establish the relative importance of the various kinds of faculty effort in the context of the mission

This statement must also appear in the department's POA Document. This is the only example of duplicated material in the two documents; the language must be identical in both.

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 guidelines on faculty duties and responsibilities (see Volume 1, Chapter 2, Section 1.4.3: Duties and Responsibilities) included in its POA are consistent with its mission and its criteria for appointments, promotion, and tenure and for merit salary increases and other rewards.

2.2 Definitions

Revised: 08/20/10

2.2.1 Committee of the Eligible Faculty

Revised: 04/29/16; 07020/17

Faculty Rule 3335-6-04(B)(1) states that "with the exception noted below, eligible faculty are tenured faculty of higher rank than the candidate excluding the tenure initiating unit chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president. For tenure reviews of probationary professors, eligible faculty are tenured professors excluding the tenure initiating unit chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president." OAA interprets the definition of eligible faculty found in this rule 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 a member of the eligible faculty only in the department where his/her tenure resides. OAA encourages units with large numbers of joint appointments to consider an alternate method for seeking input on P&T decisions from tenure-track faculty who are appointed into but not tenured in the unit.

Clinical faculty may not participate in the promotion and tenure reviews of tenure-track faculty (see Faculty Rule 3335-7-04(A)), but shall participate in the promotion review of clinical and research faculty.

Research faculty may not participate in the promotion and tenure reviews of tenure-track faculty or clinical faculty (See Faculty Rule 3335-7-37), but shall participate in the promotion reviews of research faculty.

For faculty recommendations on initial appointment, the committee of the eligible faculty includes assistant professors. A second vote is taken when an appointment at senior rank is under consideration. Senior-rank faculty under consideration, regardless of type (tenure-track, clinical, research, associated) may be reviewed only by faculty of the rank at or above consideration (associate and professor for associate, and professor for professor).

Members of the eligible faculty with a conflict of interest must recuse themselves from the review process. At a minimum, faculty with a familial or comparable relationship with a candidate must 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 a faculty member is co-author on a significant portion of the candidate's publications, has collaborated with the candidate on major grants supporting research, has served as the candidate's dissertation advisor, is dependent in some way on the candidate's professional activities, or has a relationship with the candidate that has created a bias. When there is a question about potential conflicts, the promotion and tenure chair, in consultation with the Procedures Oversight Designee (POD), shall determine whether it is appropriate for the faculty member to recuse himself or herself from a particular review.

OAA requires that there be a minimum of three faculty members involved in any P&T vote. In the event that a TIU does not have three eligible faculty members who can undertake the review, the TIU head, after consulting the dean, will appoint a faculty member from another department within the college. In smaller units, the TIU head may appoint faculty from another TIU within the college on an ad-hoc basis to provide the minimum required in, for example, a promotion vote to full professor. In such instances, unless approved by OAA, the individual from outside the department should not serve as chair or POD for the committee of the eligible faculty.

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. Faculty members who are not present cannot vote *in absentia* unless they participate by conference call or video link.

OAA recommends that all votes be cast by secret ballot prior to the meeting adjournment.

2.2.2 Promotion and Tenure Committee

Revised: 08/20/10

Units may choose to have a Promotion and Tenure (P&T) Committee (a subset of the committee of the eligible faculty) that assists the committee of the eligible faculty in managing the personnel and promotion and tenure issues of the unit.

The TIU head appoints a chair to this committee who may also chair the committee of the eligible faculty.

A P&T committee does not vote on or otherwise make recommendations on cases.

2.2.3 Quorum

Revised: 04/29/16

Edited: 04/29/16

There may be confusion surrounding quorum, voting, and abstentions. This section should contain definitions and examples to clarify decision-making through voting.

A quorum is the required number of members present at a meeting for official action to occur. This includes taking a vote. A quorum can vary depending on the size and nature of the unit. To conduct business, most units require a majority of eligible faculty on duty in a given semester to be present. Others require a super-majority, typically two-thirds, while others require less than a majority such as 20% or 25%. OAA recommends that TIUs require a quorum of two-thirds for a vote to be valid.

OAA strongly urges units to give thorough consideration to the size and needs of the unit when determining both the quorum needed to hold a meeting of the committee of the eligible faculty and the majority needed for a positive recommendation.

2.2.4 Recommendation from the Committee of the Eligible Faculty

Revised: 05/05/16

This section states the required vote in order for there to be a positive recommendation from the committee of the eligible faculty. Eligible faculty are those faculty members on duty at the time of vote.

A vote is defined as a "yes" or "no" vote. Abstentions are not votes, according to Robert's Rules of Order. Thus, only yes or no votes will be counted in determining whether a majority is or is not achieved.

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.

In accordance with Robert's Rules, OAA endorses the following options for establishing the majority required for approving a P&T action.

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

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

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% Present	Majority Present	2/3 Present
# to attain quorum	25	51	67
Majority	11	24	32
2/3 Vote	14	31	42

Units may have different voting requirements for new hires and for reappointment, promotion and tenure, promotion, and contract renewal, unless a college APT document has specified college-wide requirements. This distinction must be clearly spelled out in this section of the APT Document.

OAA recommends considering both the percent of the vote and the actual count of positive and negative votes when assessing the disposition of a vote at all levels of review.

2.3 OAA Appointments

Revised: 03/25/05

2.3.1 Criteria

Revised: 03/25/05; 07/20/17

See the Policy on Faculty Appointments

(<http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>) for the definition and uses of faculty titles.

Qualifications for instructional staff will be judged primarily on earned degrees, but other factors, including but not limited to equivalent experience, may be considered by Ohio State in determining whether a faculty member is qualified. As a default standard, newly appointed faculty must possess an academic degree in a field or subject area relevant to the courses taught and at least one level above the level at which they teach, except in programs for terminal degrees, when the accreditation standards of the profession require otherwise, or when equivalent experience is established.

Departments, in consultation with the relevant school/college, will define the minimum threshold of experience for alternative qualification, and will establish alternative processes for documenting alternative qualifications, evaluation of instruction by, and otherwise supervising these instructors, consistent with the minimum threshold of experience and evaluation process described in the Faculty Appointments Policy (<https://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>). A minimum threshold of equivalent experience shall consider the number of years of real-world experience and/or demonstrated skills in the same area in which the potential instructor of record will be teaching. OAA has final-decision-making authority to determine whether the qualification of an instructor of record whose highest degree is less than a master's degree meets the minimum threshold.

2.3.1.1 Tenure-track faculty

Revised: 02/15/13

This section should establish criteria for appointment at the rank of instructor and assistant professor. Tenure-track appointments generally should be at the assistant professor level or higher. Appointments as instructor should be reserved for faculty who are in the process of completing required credentialing but otherwise fit the criteria for assistant professor. Any specific information regarding instructors should be included. Promotion occurs without review the semester following completion of the required credentialing.

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 tenure-track faculty.

2.3.1.2 Tenure-track faculty at a regional campus

Revised: 03/25/05

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

2.3.1.3 Clinical faculty

Revised: 07/08/11

This section and all subsequent sections pertaining to clinical 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 clinical instructor and assistant professor. Criteria for appointment at the rank of instructor for clinical appointments should follow the principles guiding the same rank on the tenure-track.

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 clinical 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; and
- meeting the promotion criteria to each rank.

2.3.1.4 Research faculty

Revised: 03/25/05

This section and all subsequent sections pertaining to research 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 research assistant professor.

Criteria for appointment at higher ranks should be consistent with the criteria for promotion to those ranks established in this APT document.

2.3.1.5 Associated faculty

Revised: 06/15/15

This section should establish criteria for appointment and reappointment of compensated and uncompensated associated faculty, with criteria for appointment at each rank comparable to the criteria for the tenure-track or clinical ranks. These criteria will also serve as a basis for evaluating the promotions of associated faculty members. Associated appointments may be made for a period of up to three years and require a formal renewal at the end of the contract period if they are to be continued.

Visiting faculty appointments may be renewed for only three consecutive years.

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

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

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

- Clinical practice titles (compensated or uncompensated)—practitioner who provides clinical teaching and patient care in the health sciences
 - clinical instructor of practice, clinical assistant professor of practice, clinical associate professor of practice, clinical professor of practice
- Tenure-track titles 1-49% (compensated)—provides significant service to the teaching, research, and service program of the unit
 - instructor, assistant professor, associate professor, professor
- Tenure-track titles 0% (uncompensated)—provides significant service to the teaching, research, and service program of the unit
 - 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)—provides significant service to the instructional and/or research program of the unit. These individuals typically hold a staff appointment at Ohio State, though they may be employed outside the university.
 - adjunct instructor, adjunct assistant professor, adjunct associate professor, adjunct professor
- Lecturer and senior lecturer (compensated)—provides service to the instructional program of the unit

Uncompensated associated 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 associated faculty may identify themselves as Ohio State faculty.

2.3.1.6 Courtesy appointments for tenure-track, clinical, or research faculty

Revised: 03/25/05

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

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

2.3.2 Procedures

Revised: 03/25/05

2.3.2.1 Tenure-track faculty

Revised: 03/25/05; 07/20/17

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 the OAA Policy on Faculty Recruitment and Selection (<https://oaa.osu.edu/assets/files/documents/facultyrecruitment.pdf>).

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. Recruitment techniques must demonstrate the reach to diverse pools of candidates.

At a minimum 50% of members for each search committee must have participated in an orientation on hiring for inclusive excellence. By January 2018, every search committee member is required to participate in an orientation on hiring for inclusive excellence. 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) for 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.

Appointments at senior rank 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 the Policy on Faculty Appointments (<http://oaa.osu.edu/assets/files/documents/facultyrecruitment.pdf>).

2.3.2.2 Tenure-track faculty at a regional campus

Revised: 03/25/05

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.

2.3.2.3 Clinical faculty

Revised: 06/15/10

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

OAA requires a national search to ensure a diverse pool of highly qualified candidates. Requests for exceptions to this policy must be approved by the college.

Appointments at senior rank require prior approval by the college dean and OAA.

2.3.2.4 Research faculty

Revised: 06/15/10

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

OAA requires a national search to ensure a diverse pool of highly qualified candidates. Requests for exceptions to this policy must be approved by the college.

Appointments at senior rank require prior approval by the college dean and OAA.

2.3.2.5 Associated faculty

Revised: 06/15/10

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

Initial appointments at senior rank require prior approval by the college dean and OAA.

2.3.2.6 Courtesy appointments for tenure-track, clinical, or research faculty

Revised: 03/25/05

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

2.4 Annual reviews procedures

Revised: 08/04/09

Explain the procedures for the annual review of each category of faculty 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 traditions of the various fields within the unit.

2.4.1 Probationary tenure-track faculty

Revised: 03/25/05

Refer to Faculty Rule 3335-6-03 on probationary service and duration of appointments for tenure-track 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.

A nonrenewal recommendation during the first-, second-, third- or fifth-year review must result from application of Fourth-Year Review procedures.

See the Policy on Faculty Annual Review (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>) for OAA guidelines on the annual review process of probationary tenure-track faculty.

2.4.1.1 Probationary tenure-track faculty at a regional campus

Revised: 03/25/05

See the Policy on Faculty Annual Review (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>) for OAA guidelines on the annual review process of probationary tenure-track faculty.

2.4.1.2 Fourth-Year Review

Revised: 03/25/05

See the Policy on Faculty Annual Review (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>) for OAA guidelines on the Fourth-Year Review process of probationary tenure-track faculty.

2.4.1.3 Exclusion of time from the probationary period

Revised: 03/25/05

See Volume 1, Chapter 2, Section 1.4.5 for OAA guidelines on the exclusion of time from the probationary period of probationary tenure-track faculty.

2.4.2 Tenured faculty

Revised: 03/25/05

See the Policy on Faculty Annual Review (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>) for OAA guidelines on the review of tenured faculty.

2.4.3 Tenured faculty at a regional campus

Revised: 03/25/05

See the Policy on Faculty Annual Review (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>) for OAA guidelines on the review of tenured faculty at a regional campus.

2.4.4 Clinical faculty

Revised: 03/25/05

See the Policy on Faculty Annual Review (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>) for OAA guidelines on the review of clinical faculty.

2.4.5 Research faculty

Revised: 03/25/05

See the Policy on Faculty Annual Review (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>) for OAA guidelines on the review of research faculty.

2.4.6 Associated faculty

Revised: 03/25/05

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

2.5 Merit salary increases and other rewards

Revised: 03/25/05

2.5.1 Criteria

Revised: 03/25/05

Clearly state the criteria for salary increases and any other performance-based rewards (see the Policy on Faculty Compensation (<http://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>)).

2.5.2 Procedures

Revised: 03/25/05

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

2.5.3 Documentation

Revised: 03/25/05

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 (see Section 2.6.3: Documentation), unless the content differs from the way in which performance is evaluated in promotion and tenure and promotion reviews.

2.6 Promotion and tenure and promotion reviews

Revised: 03/25/05

2.6.1 Criteria

Revised: 05/05/16

Include 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” (see Section 2.6.3: 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. Though the total body of work over the course of a career is considered in promotion and tenure decisions, the

highest priority is placed on achievements while a faculty member is at Ohio State. 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).

2.6.1.1 Citizenship, collegiality, and professional ethical behavior

Revised: 07/26/04

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 responded 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.

2.6.1.2 Promotion to associate professor with tenure

Revised: 03/25/05

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. A 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.

2.6.1.3 Promotion to associate professor without tenure

Revised: 06/15/10

The College of Medicine has an approved exception for tenure-track faculty with substantial clinical service responsibilities. Promotion to the rank of associate professor without the simultaneous award of tenure may take place subject to OAA approved criteria for this action at both the unit and college level.

The College of Medicine and its TIUs must have clearly articulated criteria in teaching, research, and service for promotion to associate professor without tenure established in their APT documents.

Faculty members who are promoted without the award of tenure must be considered for tenure no later than the mandatory review date or six years following promotion, whichever comes first.

2.6.1.4 Promotion to professor

Revised: 08/04/09

See Faculty Rule 3335-6-02(C) and (D). Promotion standards should also reflect the reality that (a) not all faculty members will be able to contribute excellence equally in all evaluation dimensions and (b) there is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively.

2.6.1.5 Regional campus faculty

Revised: 03/25/05

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. For example, regional campus faculty do not have graduate teaching associates to assist them in their teaching, nor do they 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.

2.6.1.6 Clinical faculty

Revised: 03/25/05

Because clinical faculty may be hired at the rank of instructor, this section should describe the criteria for promotion to clinical assistant professor, associate professor, and professor. These criteria should reflect the fact that clinical 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 tenure-track faculty.

The suggested promotion criteria in the prototype APT document are somewhat generic since the nature of clinical 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; and
- meeting the promotion criteria to each rank.

2.6.1.7 Research faculty

Revised: 03/25/05

Because the entry rank at which research 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 research faculty members are primarily engaged in research.

2.6.2 Procedures

Revised: 03/25/05

The unit's procedures for promotion and 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.

Unit procedures should always 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.

2.6.2.1 Regional campus faculty

Revised: 03/25/05

A 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.

2.6.2.2 Non-mandatory reviews

Revised: 07/08/11

This section covers how a 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 asks to be reviewed cannot be denied consideration for promotion for more than one year.

2.6.2.4 External evaluation

Revised: 03/25/05

Describe how a slate of potential evaluators is determined, who is responsible for contacting the evaluators, 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, Section 3.7: External Evaluations, for advice on these matters.

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

2.6.2.5 Mechanics

Revised: 08/04/09

Describe the roles of the candidate, the P&T committee (if the unit has a P&T committee), the committee of the eligible faculty, and the TIU head.

Include in this section which administrator or body (the TIU head, the chair of the committee of the eligible faculty, the P&T committee, the committee of the eligible faculty) will be authorized to remove

from the review a faculty member with a conflict of interest when the faculty member refuses to withdraw voluntarily.

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.

2.6.3 Documentation

Revised: 02/15/13; 07/20/17

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, Section 4.1: Outline) 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. For general definitions see 3335-6-02. 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. **Other examples of documentation may be found on the OAA website:** <https://oaa.osu.edu/policiesprocedureshandbook.html>.

2.6.3.1 Teaching

Revised: 03/25/05

OAA requires evaluation of instruction in all courses and by all faculty members. The faculty member 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.

2.6.3.1.1 Peer evaluation of teaching

Revised: 8/01/14

Periodic peer evaluation is required for all tenure-track and clinical faculty who deliver formal course instruction and recommended for any associated faculty with multiple-year appointments. In case of full professors, such evaluation can take the form of peer review without a formal written evaluation. In addition, peer evaluation for promotion should include at least two different evaluations, with the exact number to be determined by the TIU according to college guidelines.

2.6.3.1.2 Student evaluation of teaching

Revised: 06/15/15

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 the Ohio State SEI may be used. For required components and further discussion see Volume 1, Chapter 2, Section 1.4.4.2: Student Evaluation.

Solicited letters from former students, and particularly from former graduate students, are not credible forms of evaluation of teaching.

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; and
- validated questionnaires collecting data from graduate students.

2.6.3.2 Research and Scholarship

Revised: 03/25/05

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, 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 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. Total reliance on external evaluations is inappropriate, possibly leading to decisions that are inconsistent with departmental standards and expectations.

2.6.3.3 Service

Revised: 03/25/05

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; and
- application of professional expertise in outreach to the community (community outreach 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. 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.

2.7 Appeals

Revised: 03/25/05

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.

2.8 Seventh-Year Review

Revised: 03/25/05

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.

2.9 Procedures for Student and Peer Evaluation of Teaching

Revised: 8/01/14

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/) 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 guidelines governing evaluation of instruction but also abide by those guidelines, applying them evenly and without prejudice. For further discussion, see Volume 1, Chapter 2, Section 1.4.4: Evaluation of Instruction.

3.0 Updating obsolete material in TIU governance documents

Revised: 06/15/15

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/.

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 (<http://oaa.osu.edu/handbook.html>) or to the Rules of the University Faculty (<https://trustees.osu.edu/index.php?q=university/facultyrules>).

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.

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 are 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.

The Ohio State University Research Foundation (OSURF) is now the Office of Sponsored Programs (OSP).

Faculty Rule 3335-6-01(B) has been revised to comply with federal law and to align with Human Resources Policy 1.10. Rather than quote the language in this rule or policy, OAA recommends that departments refer to the Affirmative Action, Equal Opportunity and Non-Discrimination/Harassment Policy and provide the web address, <http://hr.osu.edu/policy/>.

Faculty Rule 3335-6-03(B)(1) has been revised. Faculty members promoted from instructor to assistant professor no longer automatically receive prior service credit. Prior service credit must be requested by the faculty member and approved by the committee of the eligible faculty, the chair, the dean, and OAA.

Faculty Rule 3335-6-04(A)(3) has been revised. It states that a unit may establish screening procedures for tenured faculty seeking promotion with the limitation that a tenured faculty member who asks to be reviewed cannot be denied consideration for promotion for more than one year.

Faculty Rule 3335-7-03 has been revised. The appointment cap on clinical faculty in the health sciences is now 40% of the total tenure-track, clinical, and research faculty within the college. The appointment cap on clinical faculty in colleges outside of the health sciences is now 20% of the total tenure-track, clinical, and research faculty within the college. In all TIUs not in the health sciences, the number of clinical faculty members must be fewer than the number of tenure-track faculty members in each unit.

Faculty Rule 3335-5-19 has been revised. “Track” refers only to tenure-track faculty.

Faculty Rule 3335-5-19 has been revised. Auxiliary faculty appointments are now called “associated faculty.”

Faculty Rule 3335-5-19 has been revised. Associated appointments may be made for a period of up to three years. With the exception of visiting appointments, they may be reappointed.

Faculty Rule 3335-5-19 has been revised. Clinical associated appointments are now called “clinical practice faculty.”

Faculty Rule 3335-5-19 has been revised allowing the tenure-track faculty (and clinical and/or research faculty with department voting rights) to enfranchise associated faculty, allowing the associated faculty to participate in college or academic unit governance.

Faculty Rule 3335-3-29 has been revised to require that colleges have a Pattern of Administration with specified content.

Faculty Rule 3335-8-16 has been revised to give more discretion to the department chair in determining whether or not to cancel a course with low enrollment.

Faculty Rule 3335-6-03 has been revised to allow faculty members to notify their TIU, college, or OAA of birth/adoption in order to have an exclusion applied to their probationary period.

Faculty Rule 3335-6-03 has been revised requiring faculty members who wish to take advantage of the guaranteed exclusion for birth/adoption to provide notification within one year of the birth/adoption AND no later than April 1 of the mandatory review year.

Faculty Rule 3335-6-03 has been revised to require a faculty member who wishes to request an exclusion for reasons other than birth/adoption to do so within one year of the illness, care, or other factors AND no later than April 1 of the mandatory review year.

Faculty Rule 3335-6-03 has been revised to clarify the maximum number of years that may be added to the tenure clock for any reason for full-time probationary faculty members is one year for an instructor, three years for an assistant professor, and two years for an associate professor or professor. The maximum number of years that may be added to the tenure clock for a probationary faculty on less than a full-time appointment is four years for an instructor, six years for an assistant professor, and five years for an associate professor or professor.

Faculty Rule 3335-9-11 has been revised to allow tenure-track, clinical, and research faculty members within approved units in the colleges of Arts and Sciences; Business; Education and Human Ecology; Engineering; Food, Agricultural, and Environmental Sciences; Medicine; and Veterinary Medicine.

The sample APT document has new suggested language on the requirements for posting when the unit might consider international candidates.

The sample APT document has new suggested language on the candidate's responsibilities.