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Appointments, Promotion, and Tenure Criteria and Procedures for The Ohio State University Department/College of XXX

Approved by the Faculty: aa/aa/aaaa; bb/bb/bbbb; cc/cc/cccc; etc.

Last approved by the Faculty: dd/dd/dddd

Approved by the Office of Academic Affairs: ee/ee/eeee

Sample APT Document

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I Preamble

This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs [Policy and Procedures Handbook](#); and other policies and procedures of the college and university to which the department and its faculty are subject.

Should those rules and policies change, the department will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the department chair.

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](#) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule [3335-6-02](#) and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's [policy on equal opportunity](#).

II Department Mission

*Include department mission statement.
Wording here must be the same as in the Pattern of Administration.*

III Definitions

A Committee of the Eligible Faculty

1 Tenure-track Faculty

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

(The paragraph above is not applicable if the department bases appointment decision on search committee recommendations rather than a vote of the full faculty)

The eligible faculty for senior rank new appointments and for reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of equal rank to or higher than

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1 the candidate whose tenure resides in the department excluding the department chair, the dean and
2 assistant and associate deans of the college, the executive vice president and provost, and the president.

3
4 For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides
5 in the department excluding the department chair, the dean and assistant and associate deans of the
6 college, the executive vice president and provost, and the president.

7 8 **2 Clinical Faculty**

9
10 The eligible faculty for appointment reviews of clinical faculty consists of all tenure-track faculty whose
11 tenure resides in the department and all clinical faculty whose primary appointment is in the department.
12 For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the
13 rank under consideration.

14
15 *(The paragraph above is not applicable if the department bases appointment decision on search*
16 *committee recommendations or other search mechanisms rather than a vote of the full faculty)*

17
18 The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion
19 of clinical faculty consists of all tenured faculty of equal rank to or higher than the candidate whose
20 tenure resides in the department and all nonprobationary clinical faculty of equal rank to or higher than
21 the candidate whose primary appointment is in the department excluding the department chair, the dean
22 and assistant and associate deans of the college, the executive vice president and provost, and the
23 president.

24 25 **3 Research Faculty**

26
27 The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty whose
28 tenure resides in the department, all clinical faculty whose primary appointment is in the department, and
29 all research faculty whose primary appointment is in the department. For an appointment at senior rank, a
30 second vote is taken by the faculty members eligible to vote on the rank under consideration.

31
32 *(The paragraph above is not applicable if the department bases appointment decision on search*
33 *committee recommendations or other search mechanisms rather than a vote of the full faculty)*

34
35
36 The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion
37 reviews of research faculty consists of all tenured faculty of equal rank to or higher than the candidate
38 whose tenure resides in the department, all nonprobationary clinical faculty of equal rank to or higher
39 than the candidate whose primary appointment is in the department, and all nonprobationary research
40 faculty of equal rank to or higher than the candidate whose primary appointment is in the department
41 excluding the department chair, the dean and assistant and associate deans of the college, the executive
42 vice president and provost, and the president.

43 44 **4 Conflict of Interest**

45
46 A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable
47 close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some
48 way on the candidate's services, has a close professional relationship with the candidate (dissertation
49 advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's
50 work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50%

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1 of the candidate's published work since the last promotion will be expected to withdraw from a promotion
2 review of that candidate.

4 **5 Minimum Composition**

6 In the event that the department does not have at least three eligible faculty members who can undertake a
7 review, the department chair, after consulting with the dean, will appoint a faculty member from another
8 department within the college.

10 **B Promotion and Tenure Committee**

11
12 *TIUs that do not delegate promotion and tenure responsibilities*
13 *to a committee do not need this section.*

14
15 The department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty
16 in managing the personnel and promotion and tenure issues. The committee consists of three professors
17 and two associate professors. The committee's chair and membership are appointed by the department
18 chair. The term of service is three years, with reappointment possible.

19
20 When considering cases involving clinical faculty the Promotion and Tenure Committee may be
21 augmented by two nonprobationary clinical faculty members.

22
23 When considering cases involving research faculty the Promotion and Tenure Committee may be
24 augmented by two nonprobationary clinical faculty members and two nonprobationary research faculty
25 members.

26
27 *These numbers are illustrative. Use a committee size appropriate to your TIU.*

29 **C Quorum**

30
31 The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty
32 not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be
33 excluded from the count for the purposes of determining quorum only if the department chair has
34 approved an off-campus assignment.

35
36 Faculty members who recuse themselves because of a conflict of interest are not counted when
37 determining quorum.

39 **D Recommendation from the Committee of the Eligible Faculty**

40
41 In all votes taken on personnel matters only "yes" and "no" votes are counted. Abstentions are not votes.
42 Faculty members are strongly encouraged to consider whether they are participating fully in the review
43 process when abstaining from a vote on a personnel matter.

44
45 Absentee ballots and proxy votes are not permitted.

47 **1 Appointment**

48
49 A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the
50 votes cast are positive.

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1
2 **2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**
3

4 A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion,
5 and contract renewal is secured when a simple majority of the votes cast are positive.
6

7 *These numbers are illustrative. Use a voting principle that your faculty agree upon.*
8

9 **IV Appointments**
10

11 **A Criteria**
12

13 The department is committed to making only faculty appointments that enhance or have strong potential
14 to enhance the quality of the department. Important considerations include the individual's record to date
15 in teaching, scholarship and service; the potential for professional growth in each of these areas; and the
16 potential for interacting with colleagues and students in a way that will enhance their academic work and
17 attract other outstanding faculty and students to the department. No offer will be extended in the event
18 that the search process does not yield one or more candidates who would enhance the quality of the
19 department. The search is either cancelled or continued, as appropriate to the circumstances.
20

21 **1 Tenure-track Faculty**
22

23 **Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of
24 assistant professor, but requirements for the terminal degree have not been completed by the candidate at
25 the time of appointment. The department will make every effort to avoid such appointments. An
26 appointment at the instructor level is limited to three years. When an instructor has not completed
27 requirements for promotion to the rank of assistant professor by the end of the third year of appointment,
28 the third year is a terminal year of employment.
29

30 Upon promotion to assistant professor, the faculty member may request prior service credit for time spent
31 as an instructor. This request must be approved by the department's eligible faculty, the department chair,
32 the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior
33 service credit is appropriate since prior service credit cannot be revoked without a formal request for an
34 extension of the probationary period. In addition all probationary faculty members have the option to be
35 considered for early promotion.
36

37 **Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank
38 of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-
39 quality service to the department and the profession is highly desirable. Appointment at the rank of
40 assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of
41 service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure
42 Committee determines such a review to be appropriate. The granting of prior service credit, which
43 requires approval of the Office of Academic Affairs, may reduce the length of the probationary period,
44 but is strongly discouraged as it cannot be revoked once granted.
45

46
47 *For clinical departments within the College of Medicine:*
48

49 Consistent with Faculty Rule [3335-6-09](#), faculty members with significant patient clinical service
50 responsibilities are granted an extended probationary period of up to 11 years, including prior service

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1 credit, depending on the pattern of research, teaching, and service workload. An assistant professor with
2 an extended probationary period is reviewed for promotion and tenure no later than the 11th year as to
3 whether promotion and tenure will be granted at the beginning of the 12th year. For individuals not
4 recommended for promotion and tenure after the mandatory review, the 12th year will be the final year of
5 employment.
6

7
8 **Associate Professor and Professor..** Appointment offers at the rank of Associate Professor or Professor,
9 with or without tenure, and/or offers of prior service credit require prior approval of the Office of
10 Academic Affairs.

11
12 Appointment at senior rank requires that the individual, at a minimum, meet the department's criteria in
13 teaching, scholarship, and service for promotion to these ranks. Appointment at senior rank normally
14 entails tenure. A probationary appointment at senior rank is appropriate only under unusual
15 circumstances, such as when the candidate has limited prior teaching experience or has taught only in a
16 foreign country. A probationary period of up to four years is possible, on approval of the Office of
17 Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If
18 tenure is not granted, an additional (terminal) year of employment is offered.
19

20 Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved
21 for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.
22 Offers to foreign nationals require prior consultation with the Office of International Education.
23

24 **2 Tenure-track Faculty—Regional Campus**

25
26 As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria
27 for appointment at the rank of assistant professor, associate professor, or professor are similar to those for
28 Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and
29 quality.
30

31 **3 Clinical Faculty**

32
33 Appointment of clinical faculty entails a three-, four- or five-year contract. The initial contract is
34 probationary, with reappointment considered annually. Tenure is not granted to clinical faculty. There is
35 also no presumption that subsequent contracts will be offered, regardless of performance. If the
36 department wishes to consider contract renewal, a formal review of the faculty member is required in the
37 penultimate year of the current contract period. For more information see Faculty Rule [3335-7](#).
38

39 **Instructor of Clinical XXX.** Appointment is normally made at the rank of instructor of clinical XXX
40 when the appointee has not completed the requirements for the terminal degree. The department will
41 make every effort to avoid such appointments. An appointment at the instructor level is limited to a four-
42 year contract. In such cases, if the instructor has not completed requirements for promotion to the rank of
43 assistant professor by the end of the penultimate year of the contract period, a new contract will not be
44 considered even if performance is otherwise adequate and the position itself will continue.
45

46 **Assistant Professor of Clinical XXX.** An earned doctorate and the required licensure/certification in his
47 or her specialty are the minimum requirements for appointment at the rank of assistant professor of
48 clinical XXX. Evidence of ability to teach is highly desirable.
49

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1 **Associate Professor of Clinical XXX and Professor of Clinical XXX.** Appointment at the rank of
2 associate professor of clinical XXX or professor of clinical XXX requires that the individual have the
3 required licensure/certification in his/her specialty, and meet, at a minimum, the department's criteria—in
4 teaching, professional practice and other service, and scholarship—for promotion to these ranks.
5

6 **4 Research Faculty**

7

8 Appointment of research faculty entails one- to five-year contracts. The initial contract is probationary,
9 with reappointment considered annually. Tenure is not granted to research faculty. There is also no
10 presumption that subsequent contracts will be offered, regardless of performance. If the department
11 wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate
12 year of the current contract period. For more information see Faculty Rule [3335-7](#).
13

14 **Research Assistant Professor.** Appointment at the rank of research assistant professor requires that the
15 individual have a doctorate and a record of high-quality publications that strongly indicate the ability to
16 sustain an independent, externally funded research program.
17

18 **Research Associate Professor and Research Professor.** Appointment at the rank of research associate
19 professor or research professor requires that the individual have a doctorate and meet, at a minimum, the
20 department's criteria for promotion to these ranks.
21

22 **5 Associated Faculty**

23

24 Associated faculty appointments may be as short as a few weeks to assist with a focused project, a
25 semester to teach one or more courses, or for up to three years when a longer contract is useful for long-
26 term planning and retention. With the exception of visiting faculty, associated faculty may be
27 reappointed.
28

29 **Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments
30 may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give
31 academic service to the department, such as teaching a course or serving on graduate student committees,
32 for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the
33 criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but
34 not tenure) and the relevant criteria are those for promotion of tenure-track faculty.
35

36 **Clinical Instructor of Practice, Clinical Assistant Professor of Practice, Clinical Associate Professor
37 of Practice, Clinical Professor of Practice.** Associated clinical appointments may either be compensated
38 or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated
39 academic service such as XXX to the department, for which a faculty title is appropriate. Associated
40 clinical rank is determined by applying the criteria for appointment of clinical faculty. Associated clinical
41 faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for
42 promotion of clinical faculty.
43

44 **Lecturer.** Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a
45 field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction
46 is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the
47 criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed
48 one year.
49

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1 **Senior Lecturer.** Appointment as senior lecturer requires that the individual have, at a minimum, a
2 doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide
3 high-quality instruction; or a Master's degree and at least five years of teaching experience with
4 documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial
5 appointment for a senior lecturer should generally not exceed one year.

6
7 **Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-
8 track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated
9 (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for
10 appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for
11 promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

12
13 **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.**
14 Visiting faculty appointments may either be compensated or uncompensated. Visiting faculty members on
15 leave from an academic appointment at another institution are appointed at the rank held in that position.
16 The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for
17 appointment of tenure-track faculty. Visiting faculty members are not eligible for tenure or promotion.
18 They may not be reappointed for more than three consecutive years at 100% FTE.

19 20 **6 Courtesy Appointments for Faculty**

21
22 Occasionally the active academic involvement in this department by a tenure-track, clinical, or research
23 faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy)
24 appointment in this department. Appropriate active involvement includes research collaboration, graduate
25 student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy
26 appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

27 28 **B Procedures**

29
30 See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in
31 the Office of Academic Affairs [Policies and Procedures Handbook](#) for information on the following
32 topics:

- 33
- 34 • recruitment of tenure-track, clinical, and research faculty
- 35 • appointments at senior rank or with prior service credit
- 36 • hiring faculty from other institutions after April 30
- 37 • appointment of foreign nationals
- 38 • letters of offer
- 39

40 **1 Tenure-track Faculty**

41
42 A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track
43 positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs
44 in advance. Search procedures must entail substantial faculty involvement and be consistent with the
45 OAA [Policy on Faculty Recruitment and Selection](#).

46
47
48 Searches for tenure-track faculty proceed as follows:
49

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1 The dean of the college provides approval for the department to commence a search process. This
2 approval may or may not be accompanied by constraints with regard to salary, rank, and field of
3 expertise.

4
5 The department chair appoints a search committee consisting of three or more faculty who reflect the field
6 of expertise that is the focus of the search (if relevant) as well as other fields within the department.

7
8 Prior to any search, members of all search committees must undergo inclusive hiring practices training
9 available through the [Office of Diversity and Inclusion](#). Implicit bias training, also strongly encouraged, is
10 available through the [Kirwan Institute for the Study of Race and Ethnicity](#).

11
12 The search committee:

- 13
14 • Appoints a Diversity Advocate who is responsible for providing leadership in assuring that
15 vigorous efforts are made to achieve a diverse pool of qualified applicants.
- 16
17 • Develops a search announcement for internal posting in the university Job Postings through the
18 [Office of Human Resources](#) and external advertising, subject to the department chair's approval.
19 The announcement will be no more specific than is necessary to accomplish the goals of the
20 search, since an offer cannot be made that is contrary to the content of the announcement with
21 respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be
22 stated as a preferred date, not a precise closing date, in order to allow consideration of any
23 applications that arrive before the conclusion of the search.
- 24
25 • Develops and implements a plan for external advertising and direct solicitation of nominations
26 and applications. If there is any likelihood that the applicant pool will include qualified foreign
27 nationals, the search committee must advertise using at least one 30-day online ad in a national
28 professional journal. The university does not grant tenure in the absence of permanent residency
29 ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of
30 foreign nationals for permanent residency unless the search process resulting in their appointment
31 to a tenure track position included an advertisement in a field-specific nationally prominent
32 professional journal.
- 33
34 • Screens applications and letters of recommendation and presents to the full faculty a summary of
35 those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this
36 judgment, on-campus interviews are arranged by the search committee chair, assisted by the
37 department office. If the faculty does not agree, the department chair in consultation with the
38 faculty determines the appropriate next steps (solicit new applications, review other applications
39 already received, cancel the search for the time being).

40
41 On-campus interviews with candidates must include opportunities for interaction with faculty groups,
42 including the search committee; graduate students; the department chair; and the dean or designee. In
43 addition, all candidates make a presentation to the faculty and graduate students on their scholarship, and
44 teach a class. The latter could be an actual class or a mock instructional situation. All candidates
45 interviewing for a particular position must follow the same interview format.

46
47 Following completion of on-campus interviews, the eligible faculty meet to discuss perceptions and
48 preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each
49 candidate to the department chair.

50

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1 If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the
2 proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the
3 appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of
4 the proposed rank or the appropriateness of prior service credit to the department chair. Appointment
5 offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior
6 service credit require prior approval of the Office of Academic Affairs.
7

8 In the event that more than one candidate achieves the level of support required to extend an offer, the
9 department chair decides which candidate to approach first. The details of the offer, including
10 compensation, are determined by the department chair.
11

12 Potential appointment of a foreign national who lacks permanent residency must be discussed with the
13 Office of International Affairs. The university does not grant tenure in the absence of permanent
14 residency status. The department will therefore be cautious in making such appointments and vigilant in
15 assuring that the appointee seeks residency status promptly and diligently.
16

17 **2 Tenure-track Faculty—Regional Campus**

18

19 The regional campus has primary responsibility for determining the position description for a tenure-track
20 faculty search, but the dean/director or designee consults with the department chair to reach agreement on
21 the description before the search begins. The regional campus search committee must include at least one
22 representative from the department.
23

24 Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department
25 eligible faculty, and regional campus search committee. The regional campus may have additional
26 requirements for the search not specified in this document. A decision to make an offer requires
27 agreement by the department chair and regional campus dean. Until agreement is reached, negotiations
28 with the candidate may not begin, and the letter of offer must be signed by the department chair and the
29 regional campus dean.
30

31 **3 Clinical Faculty**

32

33 Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception
34 that the candidate's presentation during the on-campus interview is on clinical/professional practice rather
35 than scholarship, and exceptions to a national search requires approval only by the college dean.
36

37 **4 Research Faculty**

38

39 Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception
40 that during the on-campus interview the candidate is not asked to teach a class, and exceptions to a
41 national search requires approval only by the college dean.
42

43 **5 Transfer from the Tenure-track**

44

45 Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist.
46 Tenure is lost upon transfer, and transfers must be approved by the department chair, the college dean,
47 and the executive vice president and provost.
48

49 The request for transfer must be initiated by the faculty member in writing and must state clearly how the
50 individual's career goals and activities have changed.

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1
2 Transfers from a clinical appointment and from a research appointment to the tenure-track are not
3 permitted. Clinical faculty members and research faculty members may apply for tenure-track positions
4 and compete in regular national searches for such positions.

6 Associated Faculty

7
8 The appointment, review, and reappointment of all compensated associated faculty are decided by the
9 department chair in consultation with the department Executive Committee.

10
11 Compensated associated appointments are generally made for a period of one year, unless a shorter or
12 longer period is appropriate to the circumstances.

13
14 Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any
15 faculty member in the department and are decided by the department chair in consultation with the
16 department Executive Committee.

17
18 Visiting appointments may be made for one term of up to three years or on an annual basis for up to three
19 consecutive years.

20
21 Lecturer and senior lecturer appointments are usually made on a semester by semester or annual basis.
22 After the initial appointment, and if the department's curricular needs warrant it, a multiple year
23 appointment may be offered.

24
25 All associated appointments expire at the end of the appointment term and must be formally renewed to
26 be continued.

27 Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures
28 for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not
29 proceed to the college level if the department chair's recommendation is negative, and does not proceed to
30 the university level if the dean's recommendation is negative.

7 Courtesy Appointments for Faculty

31
32
33
34 Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track,
35 clinical, or research faculty member from another Ohio State department. A proposal that describes the
36 uncompensated academic service to this department justifying the appointment is considered at a regular
37 faculty meeting. If the proposal is approved by the eligible faculty, the department chair extends an offer
38 of appointment. The department chair reviews all courtesy appointments every three years to determine
39 whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a
40 vote at a regular meeting.

V Annual Review Procedures

41
42
43
44 The department follows the requirements for annual reviews as set forth in the [Policy on Faculty Annual](#)
45 [Review](#).

46
47 The annual reviews of every faculty member are based on expected performance in teaching, scholarship,
48 and service as set forth in the department's guidelines on faculty duties and responsibilities; on any
49 additional assignments and goals specific to the individual; and on progress toward promotion where
50 relevant.

Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.

1
2 The documentation required for the annual performance review of every faculty member is described
3 under Merit Salary Increases below. This material must be submitted to the department chair no later than
4 the final day of autumn semester classes.

5
6 The department chair is required (per Faculty Rule [3335-3-35](#)) to include a reminder in the annual review
7 letter that all faculty have the right (per Faculty Rule [3335-5-04](#)) to view their primary personnel file and
8 to provide written comment on any material therein for inclusion in the file.
9

10 **A Probationary Tenure-track Faculty**

11
12 Every probationary tenure-track faculty member is reviewed annually by the chair, who meets with the
13 faculty member to discuss his or her performance, future plans, and goals; and prepares a written
14 evaluation that includes a recommendation on whether to renew the probationary appointment.
15

16 *Also describe the role of any other faculty involved in the review.*
17

18 If the department chair recommends renewal of the appointment, this recommendation is final. The
19 department chair's annual review letter to the faculty member renews the probationary appointment for
20 another year and includes content on future plans and goals. The faculty member may provide written
21 comments on the review. The department chair's letter (along with the faculty member's comments, if
22 received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the
23 cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she
24 chooses).
25

26 If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule
27 [3335-6-04](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded
28 to the college for review and the dean makes the final decision on renewal or nonrenewal of the
29 probationary appointment.
30

31 **1 Regional Campus Faculty**

32
33 Annual review of the probationary faculty member is first conducted on the regional campus, with a focus
34 on teaching and service. The review then moves to the department and proceeds as described above. In
35 the event of divergence in performance assessment between the regional campus and the department, the
36 department chair discusses the matter with the regional campus dean/director in an effort to clarify and
37 reconcile the divergence, so that the faculty member receives consistent assessment and advice.
38

39 **2 Fourth-Year Review**

40
41 During the fourth year of the probationary period the annual review follows the same procedures as the
42 mandatory tenure review, with the exception that external evaluations are optional and the dean (not the
43 department chair) makes the final decision regarding renewal or nonrenewal of the probationary
44 appointment.
45

46 External evaluations are only solicited when either the department chair or the eligible faculty determine
47 that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's
48 scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise
49 capable of evaluating the scholarship without outside input.
50

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1 The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty
2 votes by written ballot on whether to renew the probationary appointment.
3

4 The eligible faculty forwards a record of the vote and a written performance review to the department
5 chair. The department chair conducts an independent assessment of performance and prepares a written
6 evaluation that includes a recommendation on whether to renew the probationary appointment. At the
7 conclusion of the department review, the formal comments process (per Faculty Rule [3335-6-04](#)) is
8 followed and the case is forwarded to the college for review, regardless of whether the department chair
9 recommends renewal or nonrenewal.
10

11 **3 Exclusion of Time from Probationary Period**

12

13 Faculty Rule [3335-6-03](#) (D) sets forth the conditions under which a probationary tenure-track faculty
14 member may exclude time from the probationary period. Additional procedures and guidelines can be
15 found in the Office of Academic Affairs [Policies and Procedures Handbook](#).
16

17 **B Tenured Faculty**

18

19 Associate professors are reviewed annually by the professors, who submit a written performance review
20 to the department chair along with comments on the faculty member's progress toward promotion. The
21 department chair conducts an independent assessment; meets with the faculty member to discuss his or
22 her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty
23 member may provide written comments on the review.
24

25 Professors are reviewed annually by the department chair. The department chair meets with the faculty
26 member to discuss his or her performance and future plans and goals, and prepares a written evaluation on
27 these topics. The faculty member may provide written comments on the review.
28

29 **C Tenured Faculty—Regional Campus**

30

31 Annual review of the tenured faculty member is first conducted on the regional campus, with a focus on
32 teaching and service. The review then moves to the department and proceeds as described above. In the
33 event of divergence in performance assessment between the regional campus and the department, the
34 department chair discusses the matter with the regional campus dean/director in an effort to clarify and
35 reconcile the divergence, so that the faculty member receives consistent assessment and advice.
36

37 **D Clinical Faculty**

38

39 The annual review process for clinical probationary and nonprobationary faculty is identical to that for
40 tenure-track probationary and tenured faculty respectively, except that non-probationary clinical faculty
41 may participate in the review of clinical faculty of lower rank.
42

43 In the penultimate contract year of a clinical faculty member's appointment, the department chair must
44 determine whether the position held by the faculty member will continue. If the position will not continue,
45 the faculty member is informed that the final contract year will be a terminal year of employment. The
46 standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.
47

48 If the position will continue, a formal performance review for reappointment is necessary in the
49 penultimate contract year to determine whether the faculty member will be offered a new contract. This

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1 review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External
2 letters of evaluation are not solicited. There is no presumption of renewal of contract.

4 **E Research Faculty**

6 The annual review process for research probationary and nonprobationary faculty is identical to that for
7 tenure-track probationary and tenured faculty, except that non-probationary research faculty may
8 participate in the review of research faculty of lower rank.

10 In the penultimate contract year of a research faculty member's appointment, the department chair must
11 determine whether the position held by the faculty member will continue. If it will not continue, the
12 faculty member is informed that the final contract year will be a terminal year of employment. The
13 standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

15 If the position will continue, a formal performance review for reappointment is necessary in the
16 penultimate contract year to determine whether the faculty member will be offered a new contract. This
17 review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External
18 letters of evaluation are not solicited. *(If a unit wishes to solicit letters in this case, or to make them
19 optional, describe that process here.)* There is no presumption of renewal of contract.

21 **F Associated Faculty**

23 Compensated associated faculty members in their initial appointment must be reviewed before
24 reappointment. The department chair, or designee, prepares a written evaluation and meets with the
25 faculty member to discuss his or her performance, future plans, and goals. The department chair's
26 recommendation on renewal of the appointment is final. If the recommendation is to renew, the
27 department chair may extend a multiple year appointment.

29 Compensated associated faculty members on a multiple year appointment are reviewed annually by the
30 department chair, or designee. The department chair, or designee, prepares a written evaluation and meets
31 with the faculty member to discuss his or her performance, future plans, and goals. No later than October
32 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department
33 chair's recommendation on reappointment is final.

35 **VI Merit Salary Increases and Other Rewards**

37 **A Criteria**

39 Except when the university dictates any type of across the board salary increase, all funds for annual
40 salary increases are directed toward rewarding meritorious performance and assuring, to the extent
41 possible given financial constraints, that salaries reflect the market and are internally equitable.

43 On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize
44 non-continuing contributions that justify reward but do not justify permanent salary increases. Such
45 payments/rewards are considered at the time of annual salary recommendations.

47 Meritorious performance in teaching, scholarship, and service are assessed in accordance with the same
48 criteria that form the basis for promotion decisions. The time frame for assessing performance will be the
49 past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-
50 quality performance in all three areas of endeavor and a pattern of consistent professional growth will

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1 necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are
2 likely to receive minimal or no salary increases.

3
4 Faculty who fail to submit the required documentation for an annual review at the required time will
5 receive no salary increase in the year for which documentation was not provided, except in extenuating
6 circumstances, and may not expect to recoup the foregone raise at a later time.

7 8 **B Procedures**

9
10 The department chair recommends annual salary increases and other performance rewards to the dean,
11 who may modify these recommendations. In formulating recommendations, the department chair consults
12 with the department Executive Committee. Salary increases are formulated in dollar amounts rather than
13 percentage increases, with the goal of distributing available funds in a manner that achieves the optimal
14 distribution of salaries. As a general approach to formulating salary recommendations, the department
15 chair divides faculty into at least four groups based on continuing productivity (high, average, low, and
16 unsatisfactory) and considers market and internal equity issues as appropriate.

17
18 Faculty members who wish to discuss dissatisfaction with their salary increase with the department chair
19 should be prepared to explain how their salary (rather than the increase) is inappropriately low, since
20 increases are solely a means to the end of an optimal distribution of salaries.

21 22 **C Documentation**

23
24 The annual performance review of every faculty member requires that all documentation described below,
25 including the two summary documents, be submitted to the department chair no later than the final day of
26 autumn semester classes.

- 27
28
 - updated CV, which will be made available to all faculty in an accessible place
 - updated Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#),
29 Volume 3

30
31
32 Any published materials presented for consideration should be in the form of reprints, photocopies of
33 journal articles, or other final form that documents actual publication. An author's manuscript does not
34 document publication.

35
36 Under no circumstances should faculty solicit evaluations from any party for purposes of the annual
37 review, as such solicitation places its recipient in an awkward position and produces a result that is
38 unlikely to be candid.

39
40 The time period covered by the documentation described below is the previous 12 months.

41 42 **1 Teaching**

43
44 Cumulative eSEI reports (Student Evaluation of Instruction computer generated summaries prepared by
45 the Office of the University Registrar) for every class taught.

46
47 Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program
48 (details, including required number, included in Section X: Procedures for Student and Peer Evaluation of
49 Teaching below)

50

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1 Copies of pedagogical papers, books or other materials published, or accepted for publication. Material
2 accepted for publication but not yet published must be accompanied by a letter from the publisher stating
3 that the work has been unequivocally accepted and is in final form with no further revisions needed. An
4 accepted but unpublished work submitted for consideration in a given annual review may not be
5 resubmitted after publication for consideration in a future annual review.

6
7 Other relevant documentation of teaching as appropriate.
8

9 **2 Scholarship**

10
11 Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but
12 not yet published must be accompanied by a letter from the publisher stating that the paper has been
13 unequivocally accepted and is in final form with no further revisions needed.
14

15 Documentation of grants and contracts received.

16
17 Other relevant documentation of scholarship as appropriate (published reviews including publications
18 where one's work is favorably cited, grants and contract proposals that have been submitted).
19

20 **3 Service**

21
22 Any available documentation of the quality of service that enhances the list of service activities in the
23 dossier.
24

25 **VII Promotion and Tenure and Promotion Reviews**

26 **A Criteria**

27
28
29 Faculty Rule [3335-6-02](#) provides the following context for promotion and tenure and promotion reviews:
30

31 *In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable*
32 *flexibility shall be exercised, balancing, where the case requires, heavier commitments and*
33 *responsibilities in one area against lighter commitments and responsibilities in another. In*
34 *addition, as the university enters new fields of endeavor, including interdisciplinary endeavors,*
35 *and places new emphases on its continuing activities, instances will arise in which the proper*
36 *work of faculty members may depart from established academic patterns. In such cases care must*
37 *be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual*
38 *attainment, in accordance with the criteria set forth in these rules, is an essential qualification for*
39 *promotion to tenured positions. Clearly, insistence upon this standard for continuing members of*
40 *the faculty is necessary for maintenance and enhancement of the quality of the university as an*
41 *institution dedicated to the discovery and transmission of knowledge.*
42

43 **1 Promotion to Associate Professor with Tenure**

44
45 Faculty Rule [3335-6-02](#) provides the following general criteria for promotion to associate professor with
46 tenure:
47

48 *The awarding of tenure and promotion to the rank of associate professor must be based on*
49 *convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar,*
50 *and as one who provides effective service; and can be expected to continue a program of high-*

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1 *quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which*
2 *the faculty member is assigned and to the university.*

3
4 Tenure is not awarded below the rank of associate professor at The Ohio State University.

5
6 The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and
7 judge the probability that faculty, once tenured, will continue to develop professionally and contribute to
8 the department's academic mission at a high level for the duration of their time at the university.

9
10 Every candidate is held to a high standard of excellence in all aspects of performance. Accepting
11 weakness in any aspect of performance in making a tenure decision is tantamount to deliberately
12 handicapping the department's ability to perform and to progress academically. Above all, candidates are
13 held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's
14 primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate
15 teaching is required. A mediocre performance in this area would not be adequately counterbalanced by
16 excellent performance in another aspect of teaching that is a significantly smaller part of the individual's
17 responsibilities.

18
19 Excellence in teaching, scholarship, and service are moreover defined to include professional ethical
20 conduct in each area of responsibility, consistent with the [American Association of University Professors'](#)
21 [Statement on Professional Ethics](#).

22
23 *The content of the following sections is obviously not appropriate for all disciplines, but is nevertheless*
24 *provided in order to demonstrate the requisite level of specificity. The department should strive for an*
25 *equivalent or greater level of detail in adapting the suggested content to its particular needs.*

26
27 The accomplishments listed below in the areas of teaching, scholarship, and service are expected of
28 faculty for promotion to associate professor with tenure. In the evaluation of untenured associate
29 professors for tenure, the same criteria apply, along with any others established in writing at the time a
30 senior rank appointment without tenure was offered.

31 32 **Teaching**

33
34 For promotion to associate professor with tenure, a faculty member is expected to have:

- 35
- 36 • provided up-to-date content at an appropriate level in every instructional situation and
37 demonstrated continuing growth in subject matter knowledge
 - 38
 - 39 • demonstrated the ability to organize and present class material effectively with logic, conviction,
40 and enthusiasm
 - 41
 - 42 • demonstrated creativity in the use of various modes of instruction, classroom technology, and
43 other teaching strategies to create an optimal learning environment
 - 44
 - 45 • engaged students actively in the learning process and encouraged independent thought, creativity,
46 and appreciation of the knowledge creation process
 - 47
 - 48 • provided appropriate and timely feedback to students throughout the instructional process
 - 49
 - 50 • treated students with respect and courtesy

- 1
- 2 • improved curriculum through revision or new development of courses and/or academic programs
- 3
- 4 • served as advisor to an appropriate number of graduate students given the department's graduate
- 5 student/faculty ratio and the faculty member's area(s) of expertise
- 6
- 7 • engaged in documentable efforts to improve teaching
- 8

9 **Scholarship**

10 For promotion to associate professor with tenure, a faculty member is expected to have:

- 11
- 12
- 13 • Published a body of work in high-quality peer-reviewed venues that is thematically focused,
- 14 contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited
- 15 or otherwise show evidence of influence on the work of others. The following attributes of the
- 16 body of work are considered:
- 17
 - 18 ○ quality, impact, quantity
 - 19 ○ unique contribution to a line of inquiry or repackaging of earlier work
 - 20 ○ rigor of the peer-review process and degree of dissemination of publication venues.
 - 21 Archival journal publications and monographs are weighted more heavily than
 - 22 conference proceedings, published scholarship more than unpublished scholarship, and
 - 23 original works more than edited works.
 - 24 ○ empirical work, demonstrating the candidate's ability to conduct such work and to mentor
 - 25 future scholars, is preferred to synthetic work at this stage of career
 - 26 ○ While collaborative work is encouraged, and indeed is essential to some types of inquiry,
 - 27 the candidate's intellectual contributions to collaborative work must be clearly and fairly
 - 28 described to permit accurate assessment.
 - 29
- 30 • A demonstrated ability to obtain and potential to sustain research program funding. Competitive
- 31 peer-reviewed funding is weighted more favorably than other types, since it serves as a quality
- 32 indicator of research programs, and grants requiring the exercise of intellectual creativity are
- 33 weighted more heavily than those that largely dictate the work to be done. Research funding is a
- 34 means to an end; funding that has not led to research productivity is disregarded in the review.
- 35
- 36 • A developing national/international reputation in the candidate's field as evidenced by external
- 37 evaluations, invitations to present at recognized prestigious forums, invitations to review research
- 38 papers and grant proposals, and a beginning trend of positive citations in other researchers'
- 39 publications. A reputation based on the quality of the research contribution is distinguished from
- 40 one based mainly on familiarity through the faculty member's frequent attendance at national and
- 41 international conferences.
- 42
- 43 • Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full
- 44 and timely adherence to all regulations relevant to the research program, and ethical treatment of
- 45 graduate students, postdoctoral fellows, and collaborators.
- 46

47 **Service**

48 For promotion to associate professor with tenure, a faculty member is expected to have:

49

50

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- made substantive contributions to the governance of the department in a manner that facilitates positive contributions by others
- demonstrated the potential for useful contributions to the profession

2 Promotion to Associate Professor without Tenure

For clinical departments within the College of Medicine:

Faculty members on the with significant clinical responsibilities with an eleven-year probationary period who fully meet the teaching and service requirements for promotion to associate professor with tenure but not all of the research requirements, may petition for promotion to associate professor without tenure.

Spell out minimum scholarship requirements for promotion to associate professor without tenure

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.

3 Promotion to Professor

Faculty Rule [3335-6-02](#) establishes the following general criteria for promotion to the rank of professor:

Promotion to the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service.

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field.

Units should also add additional specific criteria about work applicable especially to senior faculty, e.g. doctoral-level advising, university and professional service, and appropriate levels of leadership.

When assessing a candidate's national and international reputation in the field, a national and international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

In addition, as further specified by Faculty Rule [3335-6-02](#), assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another.

In the evaluation of untenured professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

4 Regional Campus Faculty

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional

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1 campus faculty for promotion and tenure or promotion, the department will give greater emphasis to the
2 quality of teaching and service relative to scholarship. Recognizing that the character and quantity of
3 scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the
4 weight of other responsibilities and lack of access to comparable resources, the department nevertheless
5 expects regional campus faculty to establish a program of high-quality scholarly activity.

6 7 **5 Clinical Faculty**

8
9 **Promotion to Assistant Professor of Clinical XXX.** For promotion to assistant professor of clinical
10 XXX, a faculty member must complete his/her doctoral degree and meet the required
11 licensure/certification in his or her specialty and be performing satisfactorily in teaching, professional
12 practice, and service.

13
14 **Promotion to Associate Professor of Clinical XXX.** For promotion to associate professor of clinical
15 XXX, a faculty member must show convincing evidence of excellence as a teacher and a provider of
16 effective service; must have a documented high level of competence in professional practice; and must
17 display the potential for continuing a program of high-quality teaching and service relevant to the mission
18 of this department. Specific criteria in teaching and service for promotion to associate professor-clinical
19 are similar to those for promotion to associate professor with tenure. Scholarship activity is not expected.

20
21 **Promotion to Professor of Clinical XXX.** For promotion to professor of clinical XXX, a faculty member
22 must have a record of continuing professional growth and increasing quality of contributions, including a
23 sustained record of excellence in teaching and professional practice; leadership in service to this
24 department and to the profession; and production and dissemination of scholarly materials pertinent to
25 pedagogy and/or professional practice.

26 27 **6 Research Faculty**

28
29 **Promotion to Research Associate Professor.** For promotion to research associate professor, a faculty
30 member must have a substantial record of high-quality focused research consistent with an appointment
31 devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged
32 by external evaluators as having substantial positive impact on the field. A record of continuous peer
33 reviewed funding is required along with evidence of a growing national reputation.

34
35 **Promotion to Research Professor.** For promotion to research professor, a faculty member must have a
36 national or international reputation built on an extensive body of high-quality publications and with
37 demonstrated impact on the field. A record of continuous peer-reviewed funding is required, along with
38 demonstrated research productivity as a result of such funding.

39 40 **B Procedures**

41
42 The department's procedures for promotion and tenure and promotion reviews are fully consistent with
43 those set forth in Faculty Rule [3335-6-04](#) and the Office Academic Affairs annually updated procedural
44 guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures](#)
45 [Handbook](#). The following sections, which state the responsibilities of each party to the review process,
46 apply to all faculty in the department.

47 48 **1 Candidate Responsibilities**

49
50 The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.
- To review the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see External Evaluations below.)

These numbers are illustrative.

2 Promotion and Tenure Committee Responsibilities

The responsibilities of the Promotion and Tenure Committee are as follows:

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured faculty member may only be denied a formal promotion review under Faculty Rule [3335-6-04](#) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
 - Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.

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- 50
- A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
 - **Late Spring:** Suggest names of external evaluators to the department chair.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
 - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
 - Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
 - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
 - Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure-initiating unit is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.

3 Eligible Faculty Responsibilities

The responsibilities of the members of the eligible faculty are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.

- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

4 Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
 - of the recommendations by the eligible faculty and department chair
 - of the availability for review of the written evaluations by the eligible faculty and department chair
 - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.

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- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

5 Procedures for 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/director forwards the written evaluation and recommendation of the regional campus review to the department chair, from which point the review follows the procedures described for the Columbus campus faculty.

6 External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical faculty member will be made by the department chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

A minimum of five credible and useful evaluations must be obtained. A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will only solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook for guidelines/instructions](#).

1 As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee,
2 the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for
3 credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that
4 no more than half the external evaluation letters in the dossier be written by persons suggested by the
5 candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the
6 Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators
7 suggested by the candidate.

8
9 The department follows the Office of Academic Affairs [suggested format](#) for letters requesting external
10 evaluations.

11
12 Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with
13 external evaluators for any purpose related to the promotion review. If an external evaluator should
14 initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such
15 communication is inappropriate and report the occurrence to the department chair, who will decide what,
16 if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that
17 letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural
18 lapse, or the appearance of such a lapse, in the course of the review process.

19
20 All solicited external evaluation letters that are received must be included in the dossier. If concerns arise
21 about any of the letters received, these concerns may be addressed in the department's written evaluations
22 or brought to the attention of the Office of Academic Affairs for advice.

23 **C Documentation**

24
25
26 As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate
27 dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure
28 Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate
29 bears full responsibility for all parts of the dossier that are to be completed by the candidate.

30
31 The complete dossier, including the documentation of teaching noted below, is forwarded when the
32 review moves beyond the department. The documentation of scholarship and service noted below is for
33 use during the department review only, unless reviewers at the college and university levels specifically
34 request it.

- 35
36
- 37 • Any published materials presented for consideration should be in the form of reprints,
38 photocopies of journal articles, or other final form that documents actual publication. An author's
39 manuscript does not document publication.
 - 40 • Under no circumstances should faculty solicit evaluations from any party for purposes of the
41 review.
- 42

43 **1 Teaching**

44
45 The time period for material included in the dossier for probationary faculty is the date of hire to present.
46 For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is
47 less, to present. Examples of documentation include:

- 48
49
- 50 • cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries
prepared by the Office of the University Registrar) for every class

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- 1 • peer evaluation of teaching reports as required by the department's peer evaluation of teaching
2 program (details, including number, provided in Section X below)
- 3 • copies of pedagogical papers, books or other materials published, or accepted for
4 publication. Material accepted for publication but not yet published must be accompanied by a
5 letter from the publisher stating that the work has been unequivocally accepted and is in final
6 form with no further revisions needed.
- 7 • teaching activities as listed in the core dossier including
8 ○ involvement in graduate/professional exams, theses, and dissertations, and undergraduate
9 research
10 ○ mentoring postdoctoral scholars and researchers
11 ○ extension and continuing education instruction
12 ○ involvement in curriculum development
13 ○ awards and formal recognition of teaching
14 ○ presentations on pedagogy and teaching at national and international conferences
15 ○ adoption of teaching materials at other colleges or universities
- 16 • other relevant documentation of teaching as appropriate

18 **2 Scholarship**

19
20 The time period for material included in the dossier for probationary faculty is the date of hire to present.
21 For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of
22 documentation include:
23

- 24 • copies of all books, articles, and scholarly papers published or accepted for publication. Papers
25 accepted for publication but not yet published must be accompanied by a letter from the publisher
26 stating that the paper has been unequivocally accepted and is in final form, with no further
27 revisions needed.
- 28 • documentation of grants and contracts received
- 29 • other relevant documentation of research as appropriate (published reviews including publications
30 where one's work is favorably cited, grants and contract proposals that have been submitted)
- 31 • scholarship activities as listed in the core dossier including
32 ○ documentation of creative works pertinent to the candidate's professional focus including
33 artwork, choreography, collections, compositions, curated exhibits, moving images,
34 multimedia, performances, radio, recitals, recordings, television, and websites
35 ○ documentation of inventions, patents, disclosures, options and commercial licenses
36 ○ list of prizes and awards for research, scholarly, or creative work

38 **3 Service**

39
40 The time period for material included in the dossier for probationary faculty is the date of hire to present.
41 For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of
42 documentation include:
43

- 44 • service activities as listed in the core dossier including
45 ○ involvement with professional journals and professional societies
46 ○ consultation activity with industry, education, or government
47 ○ clinical services
48 ○ administrative service to department
49 ○ administrative service to college
50 ○ administrative service to university and Student Life

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- advising to student groups and organizations
- awards and prizes for service to profession, university, or department
- any available documentation (e.g. letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier

VIII Appeals

Faculty Rule [3335-6-05](#) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05](#).

Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the faculty member is required to document the failure of one or more parties to the review process to follow written policies and procedures.

IX Seventh-Year Reviews

Faculty Rule [3335-6-05](#) 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 (mandatory tenure) review.

X Procedures for Student and Peer Evaluation of Teaching

A Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (eSEI) is required in every course offered in this department. *(Units using other evaluation tools instead of the eSEI should describe them here.)* Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

Include language on additional discursive evaluative instruments and processes for collecting them if your department requires or recommends them.

B Peer Evaluation of Teaching

The department chair oversees the department's peer evaluation of teaching process.

Annually the department chair appoints a Peer Review of Teaching Committee of a size judged sufficient to meet the volume of peer review activity expected that year, without overburdening any of the members. The term of service is one year, with reappointment possible. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The numbers below are illustrative only. There is no university policy on the specific number of peer reviews that should be conducted, but departments should ensure that the numbers in unit documents are in accordance with college or campus guidelines or have been approved as an exception to these.

1
2 The responsibilities of the Peer Review of Teaching Committee are as follows:
3

- 4 • to review the teaching of probationary tenure-track and clinical faculty at least once per year
5 during the first two years of service, and at least twice more before the commencement of the
6 mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to
7 which the faculty member is assigned
8
- 9 • to review the teaching of tenured associate professors and nonprobationary associate professors of
10 clinical XXX at least once every other year, with the goal of assessing teaching at all the levels
11 of instruction to which the faculty member is assigned over a six year period and of having at
12 least two peer reviews of teaching before the commencement of a promotion review
13
- 14 • to review the teaching of tenured professors and nonprobationary professors of clinical XXX at
15 least once every four years with the goal of assessing teaching at all the levels of instruction to
16 which the faculty member is assigned during the year of the review
17
- 18 • To review, upon the department chair's request, the teaching of any faculty member not currently
19 scheduled for review. Such reviews are normally triggered by low or declining student
20 evaluations or other evidence of the need for providing assistance in improving teaching.
21
- 22 • To review the teaching of a faculty member not currently scheduled for review, upon that
23 individual's request, to the extent that time permits. Reviews conducted at the request of the
24 faculty member are considered formative only. The department chair is informed that the review
25 took place, but the report is given only to the faculty member who requested the review. Faculty
26 seeking formative reviews should also seek the services of the [University Center for the](#)
27 [Advancement of Teaching.](#)
28

29 Reviews conducted upon the request of the department chair or the faculty member focus on the specific
30 aspects of instruction requested by the chair or faculty member and may or may not include class
31 visitations
32

33 Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive
34 and should include, in addition to class visitation, review of course syllabi and related instruction
35 materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation
36 is conducted by one or more senior peers whom the promotion and tenure chair has identified in
37 consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for
38 the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the
39 peer reviewer should attend two different class sessions over the course of the semester.
40

41 In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on
42 such issues as the appropriateness of the course design given the goals and level of the course, the quality
43 and effectiveness of the instructional materials and assessment tools, and the appropriateness of the
44 approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer
45 meets with the candidate to give feedback and also submits a written report to the department chair,
46 copied to the candidate. The candidate may provide written comments on this report and the reviewer
47 may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.
48

49 *The suggested process above could be supplemented by departmental guidelines for peer reviewers to*
50 *use. Such guidelines should distinguish between reviews that are formative (provided as feedback to the*

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1 *faculty member instructing the course) and those that are evaluative (used in promotion reviews and*
2 *performance reviews).. The [University Center for the Advancement of Teaching](#) offers assistance in such*
3 *endeavors.*

4
5

Sample APT Document

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

Academic Rights and Responsibilities Reaffirmation:

<https://oaa.osu.edu/rightsandresponsibilities.html>

Affirmative Action, Equal Employment Opportunity and Non-Discrimination/Harassment:

<http://hr.osu.edu/policy/policy110.pdf>

American Association of University Professors' Statement on Professional Ethics

<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>

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

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

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

http://senate.osu.edu/?page_id=183

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

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

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

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

<https://trustees.osu.edu/rules/university-rules/chapter-3335-7-rules-of-the-university-faculty-concerning-clinical-faculty-appointment-reappointment-and-nonreappointment-and-promotion.html>

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

Kirwan Institute for the Study of Race and Ethnicity: <http://www.kirwaninstitute.org/>

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

Office of Academic Affairs *Policies and Procedures Handbook*: <http://oaa.osu.edu/handbook.html>

Office of Diversity and Inclusion: <https://odi.osu.edu/>

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

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

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

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

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

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

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

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

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

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

Policy on Faculty Conflict of Commitment:
<https://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf>

Policy on Faculty Financial Conflict of Interest: <http://orc.osu.edu/files/Policy-on-Faculty-Financial-Conflict-of-Interest.pdf>

Policy on Faculty Paid External Consulting:
<https://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>

Policy on Faculty Professional Leave:
<https://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf>

Policy on Faculty Recruitment and Selection:
http://oaa.osu.edu/sites/default/files/links_files/facultyrecruitment.pdf

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

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

Sample Letter Requesting External Evaluation: <http://oaa.osu.edu/sampledocuments.html>

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