

Office of Academic Affairs

Policies and Procedures Handbook: Volume 1

Chapter 2: Unit Administration

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1.0 Tenure initiating unit

Revised: 06/15/10

Edited: 06/15/10

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

Multiple faculty appointments totaling 50% or more of service to the university shall be considered to be the same as a single appointment of 50% or more for the purpose of determining eligibility for tenure of a tenure-track faculty member. Faculty members with multiple appointments may only vote on P&T matters in the TIU designated as their tenure home.

1.1 Chairs and directors (TIU heads)

Revised: 05/05/16

Edited: 05/05/16

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

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

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

Deans determine the terms of appointment in light of the needs of the TIU, circumstances of the person to be appointed, and any other relevant considerations including OAA compensation policies (see Faculty Compensation Policy (<http://oaa.osu.edu/assets/files/documents/facultycompensation.pdf>)).

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

TIU heads must be members of the faculty of the unit they administer. TIU heads are subject to annual review and may be removed before the end of the appointment period. Interim or acting TIU heads must be faculty members or emeritus faculty members from a TIU within the college.

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

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

Deans must include documentation of the search and/or reappointment process with letters of offer or reappointment when submitting them to OAA for prior approval.

Appointment of an outside appointee to a senior rank requires approval by the eligible faculty, chair, the college dean and OAA. See Faculty Appointments Policy (<http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>) for a description of the required documentation for all appointments to a senior rank and the section on sample documents for the suggested language for a letter of offer including appointment to a senior rank.

Appointments are effective on July 1 for 12-month appointees (end date June 30), and on **September 1 August 15** for 9-month appointees (end date ~~May 31~~ 14). The **July or September August** reappointment dates are used even if the first appointment as TIU head was on a mid-year date.

1.1.1 Definitions

Revised: 11/09/04

Edited: 08/01/07

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

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

1.2 Assistant, associate, and vice chairs and directors

Revised: 02/15/13

Edited: 02/15/13

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

The TIU head determines the terms of appointment, subject to approval of the dean of the college.

1.3 Department staff

Revised: 02/15/13

Edited: 02/15/13

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

TIU heads can obtain information on staff hiring procedures from college fiscal officers or human resources directors and from Employment Services (292-2800). This information will not be covered here. The OHR home page may be found at: www.hr.osu.edu/.

1.3.1 Teaching component in unclassified administrative & professional (A&P) staff positions

Revised: 03/25/05

Edited: 8/01/14

If the assigned job duties of an unclassified A&P staff position include teaching, the maximum percentage of time that may be devoted to teaching is 33%, as required in OHR policy 4.20.

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

1.4 Department faculty

Revised: 04/01/99

Edited: 08/01/07

1.4.1 Units approved for clinical faculty

Revised: 06/15/15;6/05/16

Edited: 08/01/14

This is a list of colleges (bold), departments, and schools approved for clinical faculty. Unless an exception is approved by the University Senate and the Board of Trustees, clinical faculty may comprise no more than 40% of the total tenure-track, clinical, and research faculty in each of the colleges of the Health Sciences (**Dentistry, Optometry, Pharmacy, Public Health, Veterinary Medicine**) and no more than 20% of the tenure-track, clinical, and research faculty in other colleges. In all TIUs not in the health sciences, the number of clinical faculty members must be fewer than the number of tenure-track faculty members in each unit. **The College of Nursing has an approved exception and clinical faculty may comprise no more than 75% of the total tenure-track, clinical, and research faculty.** The College of Medicine has an approved exception and has no appointment cap in clinical departments; all other departments have a 40% cap of the tenure-track, clinical, and research faculty. Units that impose a stricter limit are noted in parentheses.

Arts and Sciences

Communication (10)

Psychology

Speech and Hearing Science

Business

Dentistry

Education and Human Ecology

Educational Studies

Human Sciences

Teaching and Learning

Engineering

Architecture

Biomedical Engineering (20)

Chemical and Biomolecular Engineering***

Civil, Environmental and Geodetic Engineering**

Computer Science and Engineering

Electrical and Computer Engineering

Integrated Systems Engineering

Materials Science Engineering

Mechanical and Aerospace Engineering (10)

Food, Agricultural, and Environmental Sciences*

Agricultural Education, Communication, and Leadership*

Agricultural, Environmental, and Developmental

Economics

Agricultural Technical Institute

Animal Sciences*

Entomology*

Environment and Natural Resources*

Extension

Food, Agricultural, and Environmental Engineering*

Horticulture and Crop Science

Plant Pathology

Law

Medicine

Anesthesiology

Biological Chemistry and Pharmacology (40)

Biomedical Education & Anatomy*

Biomedical Informatics

Emergency Medicine

Family Medicine

Health and Rehabilitation Sciences (40)

Internal Medicine

Microbial Infection & Immunity

Neurological Surgery

Neurology

Obstetrics and Gynecology

Ophthalmology

Orthopedics

Otolaryngology—Head and Neck Surgery

Pathology

Pediatrics

Physical Medicine and Rehabilitation

Physiology and Cell Biology

Plastic Surgery

Psychiatry

Radiation Medicine

Radiology

Surgery

Urology

Nursing (75)

Optometry

Pharmacy

Public Health

Public Affairs

Veterinary Medicine

Veterinary Biosciences

Veterinary Clinical Sciences

Veterinary Preventative Medicine

*Pending OAA approval of governance documents.

** Clinical and research faculty are capped at 25% of the total tenure-track, clinical, and research faculty.

*** Clinical and research faculty are capped at 20% of the total tenure-track, clinical, and research faculty.

1.4.2 Units approved for research faculty

Revised: 05/05/16

Edited: 05/05/16

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

Arts and Sciences (20)

Earth Sciences

Evolution, Ecology, and Organismal Biology

Psychology (10)

Sociology (10)

Speech and Hearing Science

Dentistry

Engineering

Biomedical Engineering

Chemical and Biomolecular Engineering***

Civil, Environmental, and Geodetic

Engineering**

Computer Science and Engineering

Electrical and Computer Engineering

Integrated Systems Engineering

Materials Science and Engineering

Mechanical and Aerospace Engineering (10)

Food, Agriculture, and Environmental

Sciences

Animal Sciences

Entomology

Environment and Natural Resources

Food, Agricultural, and Biological Engineering

Food Science and Technology

Medicine

Biomedical Informatics (49)

Family Medicine

Health and Rehabilitation Sciences

Internal Medicine

Microbial Infection and Immunity

Molecular and Cellular Biochemistry

Molecular Virology, Immunology, and Medical

Genetics

Neurological Surgery

Neuroscience

Obstetrics and Gynecology

Pediatrics

Pharmacology (30)

Physical Medicine and Rehabilitation

Physiology and Cell Biology (33)

Plastic Surgery

Psychiatry

Radiation Oncology

Radiology

Surgery

Urology

Nursing

Optometry (30)

Pharmacy

Public Health

Veterinary Medicine

Veterinary Biosciences

*Pending OAA approval of governance documents.

** Clinical and research faculty are capped at 25% of the total tenure-track, clinical, and research faculty.

*** Clinical and research faculty are capped at 20% of the total tenure-track, clinical, and research faculty.

1.4.3 Duties and responsibilities

Revised: 06/15/10

Edited: 8/01/14

OAA requires departments, in cooperation with their colleges, to establish guidelines that describe the allocation of effort in the department as a whole (as opposed to that of individual faculty members). Such guidelines must be established within the parameters set by Faculty Rule 3335-5-07.

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

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

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

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

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

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

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

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

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

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

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

Part-time faculty members include those persons appointed to carry out instructional responsibilities dictated by enrollment demand or by the special needs of an academic unit. Because their primary responsibility is teaching, part-time faculty are not usually expected to engage in other university duties. The actual assignment of instructional responsibilities for a part-time faculty member will be determined by contractual agreement with the university in line with section III of the OAA Faculty Appointments policy (<http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>).

All programs may not fit administratively into one of the above categories of departments. In such a case, the appropriate proportion of time to be devoted by the academic unit to teaching should be determined by the dean, subject to approval of the provost. There may be departments that differ significantly from the above classification such as those that have graduate programs but no, or few, undergraduate ones, as may be the case in the health sciences and some of the professional colleges. Appropriate teaching responsibilities for such departments should be determined by the department chair in consultation with the college dean, subject to the approval of the provost.

1.4.3.1 Teaching

Revised: 04/01/99

Edited: 02/15/13

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

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

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

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

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

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

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

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

While on duty faculty members are expected to be accountable for interaction with students, service assignments, and other responsibilities even if they have no formal course assignment that semester/term. In accordance with Faculty Rule 3335-5-08, on-duty faculty members who need to be away from campus to conduct research or other university business may do so with permission of their chair, dean, and OAA through an approved leave of absence form. Absences of more than ten consecutive business days require approval by OAA.

1.4.3.2 Research and Scholarship

Revised: 04/01/99

Edited: 08/04/09

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

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

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

1.4.3.3 Service

Revised: 04/01/99

Edited: 02/15/13

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

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

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

1.4.4 Evaluation of instruction

Revised: 04/16/02

Edited: 06/15/15

Without systematic forms of teaching assessment, there is little basis on which to evaluate either the quality of instruction or the performance of individual faculty members. TIUs should establish measurable criteria for evaluation of teaching. Criteria that are research-based and specific to the unit's teaching mission are most useful in faculty evaluation of teaching. The TIU's documentation and procedures for peer evaluation and for student evaluation must be included in its APT Document.

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

1.4.4.1 Peer evaluation

Revised: 04/16/02

Edited: 08/01/07

Successful peer review entails a commitment of time and resources as units educate faculty on best practices and develop and implement specific policies and procedures. Although OAA does not require any particular form of peer evaluation, units are required to develop a detailed plan that is appropriate for

their instructional situations, taking into account what assessments will be done, for what purpose, by whom, and when.

1.4.4.1.1 Required

Revised: 05/05/16

Edited: 05/05/16

Periodic peer evaluation required for all tenure-track and clinical faculty who deliver formal course instruction and recommended for any associated faculty with multiple-year appointments. In case of full professors, such evaluation can take the form of peer review without a formal written evaluation. In addition, peer evaluation for promotion should include at least **two new evaluations occurring at each promotion (i.e. assistant to associate and associate to professor) and reappointment**, with the exact number to be determined by the TIU in line with college guidelines.

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

1.4.4.1.2 Recommended

Revised: 04/16/02

Edited: 08/01/07

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

1.4.4.1.3 Classroom instruction

Revised: 04/16/02

Edited: 08/01/07

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

1.4.4.1.4 Course materials

Revised: 08/04/09

Edited: 08/04/09

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

- course objectives are appropriate
- course materials and assignments are up-to-date and consistent with course objectives
- syllabi are informative
- feedback on assignments is appropriately detailed and contributes to learning
- graded examinations and projects demonstrate the engagement of the faculty member and the \
- assessment of course materials may be made by peers within the unit or external reviewers as determined by procedures established by the TIU

- Peer review done for the purpose of informing reviews for promotion and tenure or promotion should be done often enough, and across a sufficient range of instructional situations, to provide a meaningful body of evidence and early enough to allow for the use of feedback for improvement. Such reviews should in general be done by senior faculty for probationary faculty and by full professors for associate professors.

1.4.4.1.5 Guidelines for revising current practices

Revised: 03/15/02

Edited: 08/01/07

The following brief guidelines, taken in part from Nancy Van Note Chism's *Peer Review of Teaching: A Sourcebook*, 2nd ed. (Bolton, MA: Anker, 2007), will greatly benefit units that wish to initiate substantive and effective change in current practices of peer review of teaching at the most local levels (units or schools).

Local Discussion of Evaluating Peer Review of Teaching

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

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

Implementing the System

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

- prepare faculty to participate effectively in the new review processes
- monitor, review, and evaluate the new processes

- commit to further change and adjust the system if data suggests that is necessary

"Closing the Loop"

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

1.4.4.2 Student evaluation

Revised: 02/15/13

Edited: 02/15/13

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

1.4.4.2.1 Required

Revised: 06/15/10

Edited: 06/15/10

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

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

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

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

If instruments that are not machine-gradable are used in the P&T process, someone other than the faculty member must summarize the results for inclusion in the dossier. Units may determine whether comments received on the electronic SEI should be collected and summarized for the purposes of P&T review. Such comments are not retained by the Registrar's Office and will be available directly to instructors unless otherwise requested by the TIU.

1.4.4.2.2 Recommended

Revised: 06/15/10

Edited: 06/15/10

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

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

Efforts should be made to maximize response rates. Students generally respond well to being told that they value the feedback. Decreased response rates resulting from the transition to on-line SEIs should not be cited as negative indicators.

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

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

1.4.4.3 Administrator evaluation

Revised: 04/16/02

Edited: 08/01/07

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

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

1.4.4.4 Self evaluation

Revised: 04/16/02

Edited: 08/01/07

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

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

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

1.4.4.5 Integration and interpretation

Revised: 04/16/02

Edited: 08/01/07

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

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

1.4.5 Exclusion from the probationary period

Revised: 03/02/07

Edited: 08/01/07

See 3335-6-03(D) of the Rules of the University Faculty (<http://trustees.osu.edu/university/facultyrules>).

1.4.5.1 Birth of a child or adoption of a child under age six

Revised: 08/01/14

Edited: 06/15/10

The Notification of Birth or Adoption of Child Form (Form 111, found at <http://oaa.osu.edu/assets/files/documents/Form111.pdf>) is used to inform the university that a probationary tenure-track faculty member has had a child or has adopted a child under age six **while employed at OSU** so that a year can be excluded from the faculty member's probationary period. Candidates may inform their chair, dean or OAA in writing of the birth or adoption. The administrator receiving the notification should ensure that it reaches OAA. OAA must receive this form within one year of the birth or adoption unless the exclusion of time is prohibited under 3335-6-03 (D)(3), and no later than April 1 of the mandatory review year.

1.4.5.2 Adverse events and unpaid leaves of absence

Revised: 08/01/14

Edited: 02/15/13

Annually every unit should remind its probationary faculty (other than those who have received nonrenewal notices) of Faculty Rule 3335-6-03 (D) (2).

Under this rule the maximum time that may be excluded from the probationary period is three years of service, except in extraordinary circumstances.

Applications to exclude time under this rule must be submitted on the Request for Exclusion of Service Time from the Tenure Probationary Period form.

Requests to exclude time under Section (D) (2) require, in addition to the form, the following items:

- unit promotion & tenure committee review
- documentation of the adverse event leading to the request including, if not self-evident, why the adverse event was beyond the faculty member's control and how it interfered with productivity
- documentation of the faculty member's productivity to date (usually a CV)

The adverse events providing the basis for the request must be clearly beyond those experienced by most probationary faculty. For example, most faculty who conduct laboratory-based research must purchase equipment, obtain various kinds of approvals (drug licenses or animal research protocols), and obtain funding before they can begin their research. To the extent that such delays are normal, they do not constitute a basis for an exclusion of time from the probationary period.

As stated in Faculty Rule 3335-6-03, an exclusion of time from the probationary period in no way limits the right of the university to terminate a probationary appointment prior to the time of the mandatory review for promotion and tenure, should circumstances warrant such action.

An exclusion of time results in a revised mandatory review year for promotion and tenure. Faculty members who have had time excluded from the probationary period may undergo P&T review prior to the revised mandatory review year, should the unit faculty judge such a review to be appropriate. Such action is at the discretion of the unit faculty, not the probationary faculty member.

Should a negative decision result from a P&T review that occurs prior to the revised mandatory review year, this decision will not result in nonrenewal of the probationary appointment. The faculty member still has the option of undergoing P&T review in the revised mandatory review year.

1.4.6 Part-time faculty

Revised: 08/01/14

Edited: 01/01/11

Probationary tenure-track faculty whose appointment is less than full-time (but 50% FTE or greater) may request an exclusion of time from the probationary period in accordance with Faculty Rule 3335-6-03 (D)(1)(c). The exclusion shall be for an integral number of years based on the principle that the usual probationary period represents full-time service. The maximum permissible exclusion under this paragraph is one year for a probationary instructor, three years for a probationary assistant professor (including time spent at the rank of instructor) and one year for a probationary associate professor or professor.

OAA policy does not approve exclusions in advance. During the second year of a faculty member's reduced appointment, OAA will approve an exclusion of one year, for example, in recognition of two years of service at 50% FTE. At the appropriate time the TIU head forwards a letter requesting approval of the exclusion to the dean and then OAA.

The TIU head's letter to the dean should state all relevant information (the amount of the reduction, when it will take effect, and whether it is permanent or temporary). For probationary tenure-track faculty, the letter should include a projected revision of the review schedule and projected year in which the adjusted "Fourth-Year" review would fall, if the Fourth-Year Review has not already occurred.

For additional information on reduction of FTE, see the Faculty Appointments Policy (<http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>).

1.4.7 Reporting for duty

Revised: 06/05/16

Edited: 06/05/16

Nine-month faculty members are generally expected to report for duty August 15th through May 14th campus the week before the start of the academic year in order to attend department and college meetings, attend orientation, and advise graduate students.

1.5 Course scheduling

Revised: 08/01/14

Edited: 02/15/12

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

It is the unit head's responsibility to assure that the schedule of course offerings each semester makes the most effective use of the unit's instructional resources. Faculty Rule 3335-8-16 establishes a standard that courses should have an enrollment of at least 15.

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

1.6 New courses and abolishment of courses

Revised: 08/05/05

Edited: 08/01/07

At the start of each new academic year OAA issues an updated manual containing information on the creation of new courses and the abolishment of courses: Academic Organization and Curriculum Handbook (<http://oaa.osu.edu/handbook.html>).

1.7 Instruction

Revised: 08/01/07

Edited: 08/01/10

The Rules of the University Faculty contains policy on instruction that applies to all faculty members at the university.

Precedence of scheduled hours:

- Faculty Rule 3335-8-11

Class rosters:

- Faculty Rule 3335-8-13

Course examinations:

- Faculty Rule 3335-8-19

Schedules for final examinations:

- Faculty Rule 3335-8-20

Marks:

- Faculty Rule 3335-8-21

Report of marks:

- Faculty Rule 3335-8-22

Alteration of marks:

- Faculty Rule 3335-8-23

Retention or disposal of materials submitted to meet course requirements:

- Faculty Rule 3335-8-23.1

Credit hours:

- Faculty Rule 3335-8-24

Admission to courses as an auditor:

- Faculty Rule 3335-8-29

Absences:

- Faculty Rule 3335-9-21

Group absences:

- Faculty Rule 3335-9-22

1.8 Use of self-authored material

Revised: 06/09/16

Should a faculty member wish to utilize a textbook(s) or other material, which is authored by the faculty member and the sale of which results in a royalty being paid to that faculty member, such textbook or material may only be required for a course by the faculty member if (1) the faculty member's chair/program director or [or should we say "and"] dean have approved the use of the textbook or material for the course taught by the faculty member, or (2) an appropriate committee of the department or college reviews and approves (or rejects) the use of the textbook or material for use in the course taught by the faculty member. Sales of such items shall not be conducted directly between a faculty member and a student.

1.9 Graduate Associates

Revised: 08/01/07

Edited: 08/04/09

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

2.0 College administration

Revised: 09/01/99

Edited: 08/01/07

2.1 Deans

Revised: 09/01/99

Edited: 02/15/13

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

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

2.2 Associate and assistant deans

Revised: 08/01/01

Edited: 08/01/07

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

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

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

2.2.1 Associate deans

Revised: 08/01/01

Edited: 08/01/07

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

Associate deans may also have responsibility for faculty appointments, grievances, discipline, and other personnel matters specific to faculty. Associate deans must be tenure-track or clinical faculty members.

2.2.2 Assistant deans

Revised: 05/01/08

Edited: 05/01/08

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

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

2.3 Faculty teaching workload

Revised: 04/01/99

Edited: 02/15/13

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

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

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

3.0 Regional campuses

Revised: 07/26/04

Edited: 08/04/09

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

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

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

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

4.0 University Senate

Revised: 02/15/13

Edited: 02/15/13

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

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

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

5.0 Rules of the University Faculty

Revised: 07/26/04

Edited: 08/01/07

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

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

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

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

5.1 Bylaws of the University Senate

Revised: 07/26/04

Edited: 08/01/07

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

5.2 Code of Student Conduct

Revised: 07/26/04

Edited: 08/01/07

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|---------|--------------------------------|
| 3335-23 | <u>Code of Student Conduct</u> |
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The Rules of the University Faculty can be found on the BOT website:

<http://trustees.osu.edu/university/facultyrules>

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6.0 Faculty in memoriam resolutions

Revised: 07/26/04

Edited: 08/01/07

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

7.0 Managing situations that are highly charged with emotion or potentially violent

Revised: 05/05/16

Edited: 05/05/16

We must always be aware of and respond carefully to incidents or circumstances that increase risks to the university community. For almost a decade The Ohio State University has had services in place to intervene in such circumstances before they escalate to the level of physical violence. Here are some general guidelines for directors and peers, including information about when and how to access these university resources.

Workplace violence does not occur in a vacuum but is preceded by patterns of problematic behaviors and interactions. Speak out to others if actions, words, or behaviors cause uncomfortable situations in the workplace.

If initial polite attempts to bring a stop to behaviors such as verbal outbursts or intimidation are not effective or are met with an escalation of anger, seek appropriate assistance from your departmental Senior HR professionals, the Office of Human Resource Consulting, or the University Faculty and Staff Assistance Program (contact information for these two offices appears below). These professionals will help guide you through the appropriate process.

When reasonable attempts do not work, it may be necessary to convene a meeting of a university Crisis Assessment Team (CAT Team; contact information appears below), consisting of representatives from the Office of Human Resources, University Police, Employee Health, University Employee Assistance Program, Environmental Health and Safety, and other units when appropriate, such as the Office of Legal Affairs and/or the Office of Academic Affairs. The crisis assessment team will meet with leaders from the affected area, conduct a risk assessment, and make specific recommendations to be implemented.

In case of actual physical violence or threats, call 911.

The most important point is to not tolerate or excuse inappropriate behavior but to reach out for consultation and guidance. Directors and peers should remember the following:

- A goal of The Ohio State University is to provide a workplace in which violence of any kind is neither tolerated nor excused.
- Extremely violent acts do not occur in a vacuum but are often the culmination of a pattern of escalating negative interactions.

- Zero tolerance for violence and intimidation, whether verbal or physical, must become part of the culture of the organization through education, performance expectations, and predictable administrative response to offenses.

The Ohio State University provides multiple resources to assist leaders and others in responding appropriately and with support to inappropriate workplace behavior.

- **Sexual Misconduct, Sexual Harassment, Relationship Violence (HR Policy 1.15)** Workplace and family and relationship violence policy (HR policy 7.05)
- Senior Human Resource Professionals in academic and work settings
- The Office of Organization and Human Resource Consulting, OHRC (614-292-2800)
- The University Employee Assistance Program, EAP (1-800-678-6225)
- Crisis Assessment Team (CAT team), OSU Health Plan (614-292-3283)
- OSU Wexner Medical Center Security (614-293-8500); emergency (911)
- Guide to Assist Disruptive or Distressed Individuals (<http://ap.osu.edu/emergency/>)
- Columbus campus: OSU Police Department (614-292-2121); emergency (911)
- Lima campus: Campus Security Office (419-995-8410); emergency (911)
- Mansfield campus: Campus Security Office (419-755-4346 or -4218); emergency (911)
- Marion campus: Public Safety Office (740-725-6222); emergency (911)
- Newark campus: Public Safety Department (740-366-9237); emergency (911)

8.0 Ethics Law, Ohio

Revised: 08/01/07

Edited: 08/01/07

The State of Ohio requires all university personnel, including faculty members, to adhere to the Ohio Ethics Law. Additional information can be found on the Office of Legal Affairs (OLA) website, www.legal.osu.edu/olaindex.php and on the Ohio Ethics Commission website, <http://www.ethics.ohio.gov/education/factsheets/ethicslaw.pdf>

9.0 Family Educational Rights and Privacy Act (FERPA)

Revised: 08/01/07

Edited: 08/01/07

The Family Educational Rights and Privacy Act (FERPA) of 1974, as amended, sets forth requirements designed to protect the privacy of student educational records. The law governs access to records maintained by educational institutions and the release of information from those records. The Ohio State Policy Concerning Privacy and Release of Student Educational Records can be found on the Registrar's website, <http://registrar.osu.edu/policies/releaseinfo.asp>.

10.0 Immunity, indemnification and representation

Revised: 09/01/99

Edited: 08/01/07

Ohio law provides university employees with immunity from liability in law suits filed in state courts. Individuals seeking to recover damages for the wrongful acts of a university employee must file a state court law suit in the Ohio Court of Claims. The defendant in such a case is the university and employees cannot be named individually.

University employees may in some circumstances be named as individual defendants in law suits filed in federal courts. However, the university may provide legal representation and pay the amount of any judgment in these cases.

University employees must satisfy two conditions in order to obtain the benefit of the immunity in state courts and the indemnification in federal court cases:

- The actions of the employee giving rise to the law suit must be within the scope of the employee's duties.
- The employee cannot be found to have acted with malice, in bad faith, or with reckless disregard as to the consequences of his or her actions.

Further information concerning the legal liabilities of faculty members, including unit heads, may be obtained from OLA (www.legal.osu.edu/olaindex.php).

11.0 Personal use of public property

Revised: 09/01/99

Edited: 01/01/11

Unauthorized use of university property for personal purposes is prohibited and could result in criminal charges. In certain limited circumstances, faculty members may use university property in connection with activities authorized under the Faculty Paid External Consulting Policy (<http://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf>). However, faculty members must obtain prior approval from their TIU head and must reimburse the university for the fair market value of such use.

12.0 Public records

Revised: 05/05/16

Edited: 05/05/16

The Ohio Public Records Act defines a "record" as any document, device, or item, regardless of physical form or characteristic, created or received by, or coming under the jurisdiction of, any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.

Such records shall be promptly prepared and made available for inspection to any persons at all reasonable times during regular business hours. Upon request, a person responsible for public records shall make copies available at cost, within a reasonable period of time.

An academic unit should have a single person responsible for dealing with public records requests and in most cases that person should be the unit head. The TIU head or other person responsible for handling such requests may wish to consult with staff members in the university's Public Records Office (<http://compliance.osu.edu/public-records/>) before responding to a request.

The Act does not require that records be created in response to a request. If there is no record that corresponds to a request, then there is no record to be provided.

The Act allows public entities to charge reasonable costs for making copies. If a unit receives a request for copies of records that appears to justify cost recovery, it should seek the advice of the Public Records

Office. To facilitate prompt access to public records and to ensure compliance with the Ohio Public Records Act, all employees are expected to comply with the university's public record policy.

The Ohio Revised Code requires public institutions and agencies to abide by the rules for the disposition of public records as established by the State Records Administrator. However, the law exempts public institutions of higher education from the State Records Administrator and authorizes them to establish their own programs of records retention and disposition.

At The Ohio State University, authority for matters of records retention and disposition is vested in the University Archives (<https://library.osu.edu/find/collections/the-ohio-state-university-archives/>). University Archives maintains a schedule governing the retention and disposition of records common to university units. University Archives also develops schedules for units in cases when they have records not listed on the General Schedule. These schedules are specific to units and are in conformity with *Records Retention for Public Colleges and Universities in Ohio: A Manual* (Columbus, Ohio: Inter-university Council of Ohio, 1992 and updates).