

Office of Academic Affairs  
**Policies and Procedures Handbook**

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Revised: 05/01/08; 5/15/20

This handbook contains the faculty and academic unit procedures promulgated by the Office of Academic Affairs. It is an accompaniment to the OAA policies posted in the **Policies and Procedures Handbook** . It is updated annually or in response to a change to **the Rules of the University Faculty** and **Bylaws of the Board of Trustees**.

### **Revisions and edits**

Each section includes the dates the last time the section was revised and edited. Edits do not represent substantive changes to that section. If, for example, a section was revised on 09/01/99, it is still current, since no revision has been needed since then.

### **Rules of the University Faculty**

When referring the reader to specific language in the **Rules of the University Faculty**, this handbook will provide the web reference for the index housed on the **Ohio State Board of Trustees** website and the chapter and section numbers that will allow the reader to find the specific reference.

### **Examples**

Examples, provided in parentheses within this handbook, are exemplary only. They do not represent an exhaustive list.

### Common abbreviations used in this document

ACE	American Council on Education
APT	Appointments, promotion, and tenure
<del>B&amp;F</del>	<del>Business and Finance, Office of</del>
BOT	Board of Trustees
CAFR	Committee on Academic Freedom and Responsibility
<del>CEF</del>	<del>Committee of the Eligible Faculty</del>
<del>CIO</del>	<del>Chief Information Officer</del>
<del>COAM</del>	<del>Committee on Academic Misconduct</del>
<del>DOL</del>	<del>Department of Labor</del>
<del>EHS</del>	<del>Environmental Health and Safety, Office of</del>
FERPA	Family Educational Rights and Privacy Act
FPL	Faculty Professional Leave
FTE	Full Time Equivalent
<del>GL</del>	<del>General Ledger</del>
<del>IRP</del>	<del>Institutional Research and Planning, Office of</del>
IUC	Inter-University Council
LOA	Leave of Absence
OAA	Office of Academic Affairs
<del>ODI</del>	<del>Office of Diversity and Inclusion</del>
<del>ODS</del>	<del>Office of Disability Services</del>
OHR	Office of Human Resources
<del>OIA</del>	<del>Office of International Affairs</del>
OIE	Office of Institutional Equity
<del>ORRP</del>	<del>Office of Responsible Research Practices</del>

~~OSP Office of Sponsored Programs~~

P&T Promotion and Tenure

POA Pattern of Administration

POD Procedures Oversight Designee

SA Special Assignment

SOH Special Opportunity Hire

SEI Student Evaluation of Instruction

~~TCO Technology Commercialization Office~~

TIU Tenure-Initiating Unit

~~UITL University Institute for Teaching and Learning~~

Office of Academic Affairs  
**Policies and Procedures Handbook: Volume 1**

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## 1.0 Pattern of administration

Revised: 05/01/08

### 1.0.1 Departments and Schools (hereafter, TIUs)

Revised: 04/29/16; 6/18/19; 5/15/20; 8/15/21

[Faculty Rule 3335-3-35](#) requires chairs of departments and directors of schools (hereafter, TIU heads) to develop a pattern of administration (POA) document in consultation with the faculty. It does not require formal faculty acceptance of the document, although units may provide for such a process. It is obviously desirable for the TIU head and faculty to reach consensus on the document; however, the TIU head may have to implement changes without consensus.

The Office of Academic Affairs (OAA) expects newly appointed or reappointed TIU heads to complete the consultation process outlined in their current POA and to have in place a new or reaffirmed POA that has been approved by the dean and by OAA no later than one year from the date they are appointed or reappointed. If a TIU head wishes to reaffirm the POA, it must nonetheless be current with university rules and policies. The current POA remains in effect until a new or revised one is approved by OAA. The vice provost for academic policy and faculty resources encourages TIU heads to submit drafts of POAs to OAA for consultation and advice. Formal submissions, however, are to be submitted to OAA by TIU heads or their dean following college review and approval.

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

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

The POA should not include content that overlaps material required in the TIU's Appointments, Promotion, and Tenure (APT) document. Redundant content in the POA and the APT documents serves no purpose and often results in inconsistencies. The only exception is the mission statement, which must be included in both the POA and APT documents. **The two iterations must match exactly.**

The POA is to refer to and be consistent with the Rules of the University Faculty. It is inadvisable to quote rules extensively, given that such passages will not reflect later revisions. In place of quoted material, **cite the relevant Rule number and embed the web address within it to comply with accessibility guidelines.** If quoting from the rules is deemed essential, please clearly demarcate the quotation (indent and/or italicize).

The POA must include a cover page with college name, TIU name, and date reviewed by faculty and dean. Include a table of contents and paginate the document. To promote consistency across the university, the [university's editorial style guide](#) is to be followed. OAA maintains a digital collection of [governance documents](#) on its own [website](#) and encourages units to make their POA available on their websites.



OAA offers a suggested (not required) outline for a POA (see Section 1.1 below). The outline covers topics appropriate for most units but may not fit the needs of all, given the diversity of unit missions, structures, and cultures.

In addition, there is a sample [POA document](#) on the OAA website. To the extent possible, the sample provides actual content and language that could be adopted in its present form or modified to better suit the particular needs of a unit. The suggested content and language are based on university rules and policies as well as on common practices that work well for many units. TIU heads are strongly encouraged to follow the sample POA. Sections of italicized text in the sample document are notes and comments; they are not to appear in a TIU's POA.

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

Formal department guidelines not included in the POA must be submitted as appendices for college and OAA review when the POA is submitted for review and approval. TIU heads are to refer to the [university's guidelines on policies](#) when considering implementing a TIU guideline not covered in this handbook.

### 1.0.2 Colleges

Revised: 02/15/13; 07/20/17; 6/18/19; 8/15/21

[Faculty Rule 3335-3-29](#) requires college deans to develop a pattern of administration (POA) document in consultation with the faculty. The rule requires newly appointed or reappointed deans to complete the consultation process outlined in their current POA and to put in place a new or reaffirmed POA. It does not require formal faculty acceptance of the document, although units may provide for such a process. It is obviously desirable for the dean and faculty to reach consensus on the document; however, the dean may have to implement changes without consensus.

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

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

Formal college guidelines not included in the POA must also be submitted as appendices for OAA review when the POA is submitted for review and approval. Deans are to refer to the [university's guidelines on policies](#) when considering implementing a guideline not already covered in this handbook.

Colleges must have two committees that are not required at the department or school level. One is a college investigations committee, per [Faculty Rule 3335-5-04](#). The other is a salary appeals committee (see Volume 1, Chapter 3). Because business for these committees is rare, these functions may be

assigned to another standing committee or the POA may establish procedures for appointing them should the need arise.

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

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

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

Colleges that wish to establish college distinguished professorships must include criteria for review and procedures for awarding such distinctions. See the [Faculty Appointments Policy](#).

Colleges are encouraged to provide guidelines on parental modification of duties to assist TIU heads in making flexible arrangements for tenure track and clinical/teaching/practice faculty seeking accommodation for childbirth/adoption.

College guidelines for approval of a faculty member's use of a textbook(s) or other material authored by that faculty member and the sale of which results in a royalty being paid to them are to be formalized in the POA. See Office of Academic Affairs Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.8: Use of self-authored material

## 1.1 Suggested outlines

Revised: 06/22/12; 6/18/19; 5/15/20; 8/15/21

### 1.1.2. TIU Outline

Pattern of Administration for the Department (or School) of XXX

Cover Page

Date reviewed by department (or school) and college

Table of contents

- I. Introduction
- II. TIU Department Mission
- III. Academic Rights and Responsibilities
- IV. Faculty and Voting Rights
  - A. Clinical/Teaching/Practice Faculty Appointment Cap
  - B. Research Faculty Appointment Cap
- V. Organization of TIU Department Services and Staff
- VI. Overview of TIU Department Administration and Decision-Making
- VII. TIU Department Administration
  - A. Chair
  - B. Other Administrators

- C. Committees
- VIII. Faculty Meetings
- IX. Distribution of Faculty Duties and Responsibilities
  - A. Tenure-track Faculty
    - i. Special Assignments
  - B. Clinical/teaching/practice Faculty
  - C. Research Faculty
  - D. Associated Faculty
  - E. ~~Parental~~ Modification of Duties
- X. Course Offerings and Teaching Schedules
- XI. Allocation of ~~TIU Department~~ Resources
- XII. Leaves and Absences
  - A. Discretionary Absence
  - B. Absence for Medical Reasons
  - C. Unpaid Leaves of Absence
  - D. Faculty Professional Leave
  - E. ~~Parental Leave~~
- XIII. Supplemental Compensation and Paid External Consulting ~~Activity~~
- XIV. Financial Conflicts of Interest
- XV. Grievance Procedures
  - A. Salary Grievances
  - B. Faculty Promotion and Tenure Appeals
  - C. Faculty Misconduct
  - D. ~~Harassment, Discrimination, and Sexual Misconduct~~
  - E. ~~Violations of Laws, Rules, Regulations, or Policies~~
  - F. ~~Student Complaints by and about Students~~
  - G. ~~Academic Misconduct~~

### 1.1.3. College Outline

Pattern of Administration for the College of XXX

Cover Page

Date reviewed by department (or school) and college

Table of contents

- I. Introduction
- II. ~~Department~~ College Mission
- III. Academic Rights and Responsibilities
- IV. Faculty
  - A. Faculty Appointments
  - B. Voting Rights
  - C. Distinguished Professor
- V. Organization of ~~Department Services and Staff~~ the College
- VI. Overview of ~~Departmental~~ College Administration and Decision-Making
- VII. ~~College~~ Administration
  - A. Dean
  - B. Other Administrators
  - C. Committees
    - 1. Promotion and Tenure Committee
    - 2. Investigations Committee

- 3. Salary Appeals Committee
- D. Centers
  - 1. Establishment of College Centers
  - 2. Review of College Centers
- VIII. Faculty Meetings
- IX. Distribution of Faculty Duties and Responsibilities
  - A. ~~Tenure-track Faculty~~ Guidelines on Teaching Assignments
  - B. Special Assignments
  - C. ~~Clinical/teaching/practice Faculty~~ Guidelines for Determining FTE Exceptions of Faculty Appointments Policy
  - ~~D. Research Faculty~~
  - ~~E. Associated Faculty~~
  - F. ~~Parental~~ Modification of Duties
- X. Course Offerings and Teaching Schedule
- XI. Allocation of ~~Department~~ College Resources
- XII. Leaves and Absences
  - A. Discretionary Absence
  - B. Absence for Medical Reasons
  - C. Unpaid Leave of Absence
  - D. Faculty Professional Leave
  - E. Parental Leave
- XIII. Supplemental Compensation and Paid External Consulting Activity
- XIV. Financial Conflicts of Interest
- XV. Grievance Procedures
  - A. Salary Grievances
  - B. Faculty Promotion and Tenure Appeals
  - C. Faculty Misconduct
  - D. Harassment, Discrimination, and Sexual Misconduct
  - E. Violations of Laws, Rules, Regulations, or Policies
  - F. ~~Student~~ Complaints by and about Students
  - G. Academic Misconduct
  - ~~H. Code of Student Conduct~~
  - ~~I. Professional Student Honor Code~~

## 1.2 Mission

Revised: 05/01/08

Include the TIU's academic mission. This statement must also appear in the TIU's APT document. This is the only example of duplicated material in the two documents; the language must be identical in both. (See Section 2.1.3: Mission, for full information on the mission statement.)

## 1.3 Academic rights and responsibilities

Revised: 08/01/07

Include the link to the [university's reaffirmation of academic rights and responsibilities](#).

## 1.4 Faculty and voting rights

Revised: 12/18/13; 07/20/17; 6/18/19; 5/15/20; 8/15/21

Describe who is considered a faculty member in the TIU for voting purposes and for purposes of consultation (if the two are different). TIUs differ in how they handle granting voting rights to joint appointments (both salaried and non-salaried). Joint-appointed faculty may vote on promotion and tenure cases only in their TIU (see [Faculty Appointments Policy](#)).

This section also could describe who is considered a member of the graduate faculty if this information is not contained in a separate graduate handbook.

TIUs with clinical/teaching/practice faculty are to define clinical/teaching/practice faculty and are to address what titles they will be given, what governance rights will be extended to them, and what appointment cap is in effect. Clinical/teaching/practice faculty may not participate in or vote on tenure-track promotion and tenure decisions. The TIU's tenure-track faculty may vote to allow clinical/teaching/practice faculty to vote on clinical/teaching/practice faculty appointment and promotion and research appointment decisions.

TIUs with research faculty are to define research faculty and address what titles they will be given and what appointment cap is in effect. Research faculty may not participate in or vote on tenure-track promotion and tenure decisions or clinical/teaching/practice appointment and promotion decisions. The TIU's tenure-track faculty and clinical/teaching/practice faculty (if applicable) may vote to allow research faculty to vote on the appointment and promotion decisions of research faculty.

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

Colleges that wish to establish college distinguished professorships must include criteria for review and procedures for awarding such distinctions. See the [Faculty Appointments Policy](#).

~~Colleges, departments, and schools are to determine a process for a faculty member to request permission to use a textbook(s) or other material that is authored by that faculty member and sale of which results in a royalty being paid to them. Generally, such a process is by way of a book selection committee and/or approval by the TIU head or dean. See Office of Academic Affairs Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.8: Use of self-authored material.~~

## **1.5 Organization of services and staff**

Revised: 08/26/04; 8/15/21

In larger TIUs with many support personnel, OAA recommends a description of the TIU's offices and staff and their functions. This section may not be necessary in smaller units. **It is required in college POAs.**

## **1.6 Overview of administration and decision-making**

Revised: 08/26/04; 5/15/20; 8/15/21

Edited: 08/01/07

Include a statement on how ~~department~~ **TIU (college)** guidelines and program decisions are made.

### **1.6.1 TIU Head/College Dean**

Revised: 05/01/08; 8/15/21

TIUs should quote [Faculty Rule 3335-3-35\(C\)](#) on responsibilities of the TIU head. State clearly those matters for which the TIU head has final authority. [Colleges should quote Faculty Rule 3335-3-29\(B\).](#) This is the only section where direct quotation of material available online is encouraged.

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

[Colleges should include information on other academic administrators, such as vice, associate, and assistant deans. A college's process for TIU leader selection and review should be described.](#)

### 1.6.2 Committees

Revised: 01/01/11; 6/18/19; 5/14/20; 8/15/21

Develop a committee structure that assures that the time faculty members spend in committee work is time well spent. There is no model that fits all, or even most, units. Considerations include the number of faculty in the unit (the fewer the faculty, the greater the importance of a highly efficient committee structure), the complexity of the unit's programs, and the unit's culture. The number of committees, their size, and their intensity of effort should be consistent with the size of the TIU (fewer faculty, fewer and smaller committees) and handled with good judgment regarding faculty input on the various types of business to be conducted. When possible, probationary faculty members' committee responsibilities should be limited to allow acclimation to the university.

Describe the TIU's standing committee structure, including the responsibilities of each committee, who the members are, how they are selected, length of term, and how the chair is selected. If students are permitted on committees, state how they are selected and whether they may vote. State under what circumstances ad hoc committees will be formed and how they will be formed.

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

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

In accordance with [Faculty Rule 3335-6-04\(B\)\(1\)](#), TIUs are required to have a committee of the eligible faculty that votes on personnel matters. Most TIUs have a standing committee that focuses on undergraduate curriculum and related matters, a standing committee that focuses on graduate curriculum and related matters, and a standing committee that provides administrative service for promotion and tenure reviews. All other standing committees are specific to TIU needs. The TIU head typically appoints members to standing committees—in part to assure a fair distribution of service effort among faculty and in part to assure appropriate membership in terms of expertise, diversity, and other considerations.

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

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

The TIU head is an *ex officio* member of every committee and is a non-voting member of the committee of eligible faculty and the Promotion and Tenure Committee, if such a committee exists.

Colleges must have two committees that are not required at the department or school level. One is a college investigations committee, per [Faculty Rule 3335-5-04](#). The other is a salary appeals committee (see Volume 1, Chapter 3). Because business for these committees is rare, these functions may be assigned to another standing committee or the POA may establish procedures for appointing them should the need arise.

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

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

### **1.7 Faculty meetings**

Revised: 08/04/09; 6/18/19; 5/15/20

Colleges, departments, and schools should include how faculty meetings are scheduled, how faculty members are informed of meetings, and how meeting agendas and minutes are established and distributed. Include what constitutes a quorum and what vote is required to approve those matters on which a vote is taken (See Section 2.2.3: Quorum, and Section 2.2.4: Recommendation from the Committee of the Eligible Faculty, for guidance on quorum, voting, and abstentions). Note that [Faculty Rule 3335-5-18](#) requires that faculty meet at least once each semester of the academic year.

### **1.8 Distribution of faculty duties and responsibilities**

Revised: 05/26/18; 6/18/19

OAA requires that every college, department, school, and regional campus have guidelines on the distribution of faculty duties and responsibilities. For colleges with TIUs, the college guidelines are to establish minimum expectations for **all** its units. See Volume 1, Chapter 2, Section 1.4.3.1: Teaching, for additional information on unit guidelines on the distribution of faculty duties and responsibilities.

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

Include TIU expectations regarding faculty office hours.

Describe any TIU guidelines that supplement college guidelines and university policies with respect to conflicts of commitment and direct the reader to the [Faculty Conflict of Commitment Policy](#).

#### **1.8.1 Special assignments**

Revised: 01/01/11



Describe any TIU guidelines that supplement college guidelines and university policy with regard to [Special Assignments](#).

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

Revised: 06/15/15

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

### **1.8.3 Modification of Duties**

Revised: 8/15/21

Colleges are encouraged to provide guidelines on modification of duties to assist TIU heads in making flexible arrangements for full-time faculty seeking accommodation for childbirth/adoption, care taking for an immediate family member who has a serious health condition, or a qualifying exigency arising from the fact that the employee's immediate family member is on covered active duty in a foreign country or called to covered active-duty status.

## **1.9 Course offerings and teaching schedules**

Revised: 08/26/04

Describe how the unit's course offering schedule (see Volume 1, Chapter 2, Section 1.5: Course Scheduling) and faculty teaching schedule are developed (see Volume 1, Chapter 2, Section 1.4.3: Duties and Responsibilities). Also refer the reader to the OAA Policies and Procedures Handbook at [OAA Policies and Procedures Handbook](#).

## **1.10 Allocation of resources**

Revised: 08/26/04; 8/15/21

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

## **1.11 Leaves and absences**

Revised: 05/01/08

Describe any TIU guidelines that supplement college guidelines and university policies regarding how leaves are considered and approved, and how absences from duty are handled:

- [Faculty Professional Leave \(FPL\)](#)
- [Unpaid Leave of Absence \(LOA\)](#)
- [Entrepreneurial Leave of Absence](#)

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



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

### **1.12 Supplemental compensation and paid external consulting activity**

Revised: 06/26/18; 5/15/20; 8/15/21

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

University policies represent upper limits on what is possible, and individual TIUs are encouraged to consider whether lower limits are appropriate to their circumstances.

If the TIU has no supplemental guidelines, at minimum, list each topic and direct the reader to the [Faculty Compensation Policy](#) and the [Faculty Paid External Consulting Policy](#). For purposes of the Faculty Paid External Consulting Policy and unless otherwise set forth in the TIU/college guidelines or POA, a nominal honorarium for external professional activities is that which is considered usual and customary in higher education and the specific field of study. A guideline may include a maximum honorarium figure, with approval required for higher honoraria. Approval of External Consulting is at the discretion of the TIU head and dean and will be denied should a conflict of interest or commitment exist ([Policy on Faculty Conflict of Commitment](#)). The TIU/college POA is to include additional guidelines for when external work will not be approved.

Faculty with an administrative position (e.g., Dean, TIU Head, Associate and Assistant Deans, Center Directors) remain subject to the [Faculty Paid External Consulting Policy](#) and, with approval, are permitted to engage in paid external work activities. However, faculty members with administrative positions are not permitted to accept compensation/honorarium for services that are carried out in a manner that relates to or are the result of one's administrative duties and responsibilities.

Colleges, departments, and schools are to determine a process for a faculty member to request permission to use a textbook(s) or other material that is authored by that faculty member and sale of which results in a royalty being paid to them. Generally, such a process is by way of a book selection committee and/or approval by the TIU head or dean. See Office of Academic Affairs Policies and Procedures Handbook, Volume 1, Chapter 2, Section 1.8: Use of self-authored material.

### **1.13 Financial conflicts of interest**

Revised: 08/26/04

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

If the unit has no supplemental guidelines, at minimum list each topic and direct the reader to the [Financial Conflict of Interest Policy for Faculty](#).

### **1.14 Grievance procedures**

Revised: 01/01/11; 8/15/21

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

- [Policy 1.10](#) (Affirmative Action, Equal Employment Opportunity & Non-Discrimination/ Harassment)
- [Policy 1.15](#) (Sexual Misconduct)
- [Office of Institutional Equity](#)
- [Office of University Compliance and Integrity](#)
- [Anonymous Reporting Line](#)
- [Faculty Rule 3335-5-04](#) (Hearing procedures for complaints against faculty)
- [Faculty Rule 3335-5-05](#) and [Faculty Rule 3335-6-05](#) (Procedures concerning faculty complaints about promotion, tenure and renewal decisions. **Tenure appeals procedures should be covered in the TIU's APT Document.**)
- [Faculty Rule 3335-8-23](#) (Procedures concerning complaints by and about students)
- Academic Misconduct (Procedures concerning complaints relating to academic misconduct)
  - [Committee on Academic Misconduct \(Code of Student Conduct 3335-23-15\)](#)
  - [Code of Student Conduct](#)
  - Professional student honor code (if applicable)
  - Initiation, inquiry, and investigation of code violations ([Code of Student Conduct 3335-23-05](#))

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

## 2.0 **TIU Appointments, Promotion & Tenure Document**

Revised: 03/25/05; 6/26/18

### 2.0.1 Requirements

Revised: 06/26/18; 6/18/19; 5/15/20; 8/15/21

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

OAA expects newly appointed or reappointed TIU heads to complete the consultation process outlined in the current POA and to have in place a new or reaffirmed APT document that has been approved by OAA no later than one year from the date they are appointed or reappointed. If a TIU head wishes to reaffirm the APT, it must nonetheless be current with university rules and policies. Specific sections of the document can be revised as the need arises. Such revisions must be approved by the **dean of the college** and OAA and are to be submitted electronically **with track changes visible**. The current APT document remains in effect until a new or reaffirmed one is approved by OAA. Units are responsible for providing a

copy (or a link to access the document online) of the current APT document to tenure-track, clinical/teaching/practice, and research faculty with the letter of offer.

This document is crucial to establishing and upholding the quality of the unit's academic endeavors. Development or revision of the document provides an opportunity for the TIU to consider:

- its mission in the context of college and university missions;
- the quality of its programs and its standing among comparable units in peer institutions;
- how the mission and program quality affect faculty appointments, advancement, and reward; and
- if the current document meets the faculty outcomes expected.

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

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

~~The unit APT document must:~~

- ~~• be reviewed and either reaffirmed or revised during the first year of a TIU head's appointment or reappointment;~~
- ~~• be approved by the dean and OAA. The vice provost for academic policy and faculty resources encourages TIU heads to submit drafts of APT documents to OAA for consultation and advice; formal submissions, however, should be submitted to OAA following the college dean's review and approval.; and~~
- ~~• follow the required outline exactly, except for sections that do not pertain to the unit (e.g., Columbus campus units that do not appoint clinical/teaching/practice or research faculty or do not have faculty on the regional campuses do not need to include information relevant to those appointments).~~

Because a common format is needed to facilitate reference to APT documents by promotion and tenure reviewing bodies, the required outline (see Section 2.1.1 below) must be followed as presented, except for sections that do not pertain to the unit (e.g., Columbus campus units that do not appoint clinical/teaching/practice or research faculty or do not have faculty on the regional campuses do not need to include information relevant to those appointments). ~~Units do not have the option of modifying this outline.~~

Units are to refer to and be consistent with the Rules of the University Faculty. It is inadvisable to quote rules extensively, however, as such passages will not reflect later revisions to the Rules. In place of quoted material, cite the relevant Rule number and embed the web address of within the citation to comply with accessibility guidelines. ~~provide the address of the web site of the BOT, Rules of the University Faculty (<https://trustees.osu.edu/bylaws-and-rules/university-faculty-rules>) and the rule number.~~ If quoting from the rules is deemed essential, please clearly demarcate the quotation (indent and/or italicize).

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

The APT must include a cover page with college, department, or school name and dates reviewed by faculty and dean. Include a table of contents and paginate the APT document. To promote consistency across the university, follow the [university's editorial style guide](#). OAA encourages units to make their APT documents available on their websites and to retain copies for 10 years. OAA maintains a digital collection of governance documents on its own [website](#). Note that the officially approved version of the document is the one posted on the OAA website. TIU heads should be diligent in seeking college and OAA approval when making changes to their APT Document.

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

Sections of italicized text in the sample document are notes and comments; they should not appear in a TIU's APT Document.

## **2.0.2 College APT Documents**

Revised: 08/01/14; 5/15/20; 8/15/21

[Faculty Rule 3335-6-02](#) requires each college to have an Appointments, Promotion, and Tenure (APT) document.

OAA expects newly appointed or reappointed deans to complete the consultation process outlined in their current POA and to have in place a new or reaffirmed APT document that has been approved by OAA no later than the end of the calendar year in which they were appointed or reappointed. If a dean wishes to reaffirm the APT, it must nonetheless be current with university rules and policies. Specific sections of the document can be revised as the need arises. Such revisions must be approved by the dean of the college and OAA and should be submitted electronically with the specific revisions documented using track changes. The current APT document remains in effect until a new or reaffirmed one is approved by OAA.

The college APT document is to describe, in qualitative terms, the college's criteria for appointments, promotion, and tenure within the context of the college's mission. The document also is to include a description of the college's procedures for conducting college-level reviews for promotion and tenure.

## **2.1 Preliminary information**

Revised: 01/01/11

### **2.1.1 Required outline**

Revised: 06/25/18; 6/18/19; 5/15/20

This outline uses "department" as the example. Sections on faculty at a regional campus should be included only by those units with regional campus faculty members. Sections on clinical/teaching/practice

and research faculty are to be included only by units approved for those types of faculty appointments. If a TIU adopts its college's APT **as its own**, this should be stated on the **college's APT** document.

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

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### 2.1.2 Preamble

Revised: 03/25/05

Explain the document's purpose and its relationship to other documents that contain promotion and tenure policies and procedures.

### 2.1.3 Mission

Revised: 03/25/05

Within the TIU's academic mission statement:

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

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

As part of its mission, **Error! Bookmark not defined.** the unit should set the goal of increasing the quality of its endeavors. In addition, the unit should assure that its guidelines on faculty duties and responsibilities (see Volume 1, Chapter 2, Section 1.4.3: Duties and Responsibilities) included in its POA are consistent with its mission and its criteria for appointments, promotion, and tenure, and for merit salary increases and other rewards.

## 2.2 Definitions

Revised: 08/20/10

### 2.2.1 Committee of the Eligible Faculty

Revised: 06/25/18; 6/18/19; 5/15/20; 8/15/21

[Faculty Rule 3335-6-04\(B\)\(1\)](#) states that “with the exception noted below, eligible faculty are tenured faculty of higher rank than the candidate excluding the tenure initiating unit chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president. For tenure reviews of probationary professors, eligible faculty are tenured professors excluding the tenure initiating unit chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.” OAA interprets the definition of eligible faculty found in this rule to mean faculty members who are tenured in the TIU in which tenure is being considered. A tenured faculty member who holds a joint appointment is a member of the eligible faculty only in the TIU where their tenure resides.

Faculty on approved leave (unpaid leave, faculty professional leave, parental leave) or ~~Special Assignment~~ are not considered for quorum unless they declare, in advance and in writing, of their intent to participate in all proceedings for all candidates they are eligible to review.

Clinical/teaching/practice faculty may not participate in the promotion and tenure reviews of tenure-track faculty (see [Faculty Rule 3335-7-04\(A\)](#)). The TIU's tenure-track faculty may vote to include

clinical/teaching/practice faculty in the **appointment and** promotion review of clinical/teaching/practice faculty and research faculty.

Research faculty may not participate in the promotion and tenure reviews of tenure-track faculty or the promotion reviews of clinical/teaching/practice faculty (See [Faculty Rule 3335-7-37](#)). The TIU's tenure-track faculty may vote to include research faculty in the **appointment and** promotion review of research faculty.

**Associated faculty may not participate in the promotion and tenure reviews of tenure-track faculty or the appointment and promotion reviews of clinical/teaching/practice or research faculty (See [Faculty Rule 3335-7-37](#)). TIUs must include their procedures for the initial appointment, reappointment, contract renewal, and promotion reviews of associated faculty.**

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

**~~TIUs must include their procedures for the initial appointment, reappointment, contract renewal, and promotion reviews of associated faculty.~~**

Prior to the start of a review process, all eligible faculty should be asked to indicate any conflicts to the committee of eligible faculty chair, the POD, or the TIU head. Members of the eligible faculty with a conflict of interest must recuse themselves from the review process. At a minimum, faculty with a familial or comparable relationship with a candidate must not participate in a review of that candidate. In addition, a close professional relationship may give rise to a conflict of interest, such as when a faculty member is co-author on a significant portion of the candidate's publications, has collaborated with the candidate on major grants supporting research, has served as the candidate's dissertation advisor, is dependent in some way on the candidate's professional activities, or has a relationship with the candidate that has created a bias. When there is a question about potential conflicts, the committee of the eligible faculty chair, in consultation with the Procedures Oversight Designee (POD), shall determine whether it is appropriate for the faculty members to recuse themselves from a particular review. Faculty members who do not voluntarily recuse themselves may be removed by the TIU head.

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

Faculty who do not attend the entire discussion of a particular case are not permitted to vote on that case. Faculty members who are not present cannot vote *in absentia* unless they participate by conference call or video link.

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



### 2.2.2 Promotion and Tenure Committee

Revised: 08/20/10; 8/15/21

Units may choose to have a Promotion and Tenure (P&T) Committee (a subset of the committee of the eligible faculty) that assists the committee of the eligible faculty in managing the personnel and promotion and tenure issues of the unit. The TIU head appoints a chair to this committee who may also chair the committee of the eligible faculty. **The committee's membership and term of service should be indicated.**

### 2.2.3 Quorum

Revised: 04/29/16; 5/15/20; 8/15/21

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

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

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

### 2.2.4 Recommendation from the Committee of the Eligible Faculty

Revised: 05/05/16; 5/14/20

This section states the required vote for there to be a positive recommendation from the committee of the eligible faculty (described above in 2.2.1. Committee of the Eligible Faculty). **Eligible faculty are those faculty members on duty at the time of vote.**

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

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

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

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

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

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

<b>Quorum</b>	<b>25% Present</b>	<b>Majority Present</b>	<b>2/3 Present</b>
<b># to attain quorum</b>	25	51	67
<b>Majority</b>	11 (11 Y, 9 N, 5 A)	24 (24 Y, 22 N, 5 A)	32 (32 Y, 30 N, 5 A)
<b>2/3 Vote</b>	14 (14 Y, 6 N, 5 A)	31 (31 Y, 15 N, 5 A)	42 (42 Y, 20 N, 5 A)

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

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

## **2.3 Appointments**

Revised: 03/25/05

### **2.3.1 Criteria**

Revised: 06/25/18; 5/15/20

See the [Faculty Appointments Policy](#) for the definition and uses of faculty titles.

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

The minimum threshold of experience for alternative qualification must be defined by the TIU and college, if the TIU is department or school, and will establish alternative processes for documenting alternative qualifications, evaluation of instruction by, and otherwise supervising these instructors, consistent with the minimum threshold of experience and evaluation process described in the [Faculty Appointment Policy](#). A minimum threshold of equivalent experience shall consider the number of years of real-world experience and/or demonstrated skills in the same area in which the potential instructor of record will be teaching. OAA has final decision-making authority to determine whether the qualification of an instructor of record whose highest degree is less than a master's degree meets the minimum threshold.

A curriculum vitae for all faculty members, including associated faculty members, must be kept in each TIU.

#### **2.3.1.1 Tenure-track faculty**

Revised: 02/15/13; 5/15/20

This section is used to establish criteria for appointment at the rank of instructor and assistant professor. Appointments at the rank of instructor are reserved for faculty who are in the process of completing required credentialing but otherwise fit the criteria for assistant professor. Any specific information regarding instructors should be included. Promotion to assistant professor occurs without review the semester following completion of the required credentialing.

Criteria for appointment at higher ranks are to be consistent with the criteria for promotion to those ranks established in the APT document. The unit is encouraged to commit itself to making only faculty appointments that enhance or have strong potential to enhance the quality of the unit. Refer to [Faculty Rule 3335-6-02](#) regarding criteria for appointment, reappointment, and promotion and tenure, and to [Faculty Rule 3335-6-03](#) regarding probationary service and duration of appointments for tenure-track faculty.

### **2.3.1.2 Tenure-track faculty at a regional campus**

Revised: 03/25/05

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

### **2.3.1.2 Clinical/teaching/practice faculty**

Revised: 07/08/11; 6/18/19

This section and all subsequent sections pertaining to clinical/teaching/practice faculty are relevant only to academic units authorized to make such appointments (see [Faculty Rule 3335-7](#)).

This section is used to establish criteria for appointment at the rank of clinical/teaching/practice instructor and assistant professor. Criteria for appointment at the rank of instructor for clinical/teaching/practice appointments are to follow the principles guiding the same rank on the tenure-track.

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

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

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

### **2.3.1.3 Research faculty**

Revised: 03/25/05

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

This section is used to establish criteria for appointment at the rank of research assistant professor.

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

#### **2.3.1.4 Associated faculty**

Revised: 06/15/15; 6/18/19; 8/15/21

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

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

Definitions and policies for associated faculty can be found in [Faculty Rule 3335-5-19](#).

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

The types of associated appointments are as follows:

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

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

### **2.3.1.5 Regional campus faculty**

Revised: 03/25/05; 8/15/21

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

### **2.3.1.6 Emeritus Faculty**

Revised 7/1/19; 5/15/20

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in [Faculty Rule 3335-5-36](#). Full-time tenure track, clinical/teaching/practice, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the TIU head (regional campus dean for associated faculty on regional campuses) outlining academic performance and citizenship. The Committee of Eligible faculty (tenured faculty and non-probationary clinical/teaching/practice associate professors and professors) will review the application and make a recommendation to the TIU head. The TIU head will decide upon the request, and if appropriate submit it to the dean.

All documents will be reviewed for approval by OAA.

If the faculty member requesting emeritus status has in the ten years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to [Faculty Rule 3335-05-04](#), emeritus status will not be considered. See [Faculty Appointments Policy](#) for further information.

Emeritus faculty may not vote at any level of governance and may not participate in promotion and tenure matters.

Various offices within the university offer perquisites to emeritus faculty. Some of these include, but are subject to the discretion of the unit and modification at any time:

- Emeritus parking hangtag free of charge (application provided by the BOT).
- Emeritus permanent university ID card permitting library privileges.
- Continuing use of OSU e-mail account (requested by calling the Office of Information Technology's Help Line at 614-688-4357).
- Reduced membership fee offered by the Faculty Club.
- Use of recreational facilities on same basis as university faculty.
- Athletic tickets, including football ticket applications, offered by the Department of Athletics at university faculty prices.
- Emeritus faculty are eligible to receive campus-wide news publications issued by the university.
- At the discretion of the TIU and/or college, emeritus faculty may attend certain faculty meetings without vote. Unit Patterns of Administration provide information about the

- participation of emeritus faculty in faculty meetings. Emeritus faculty may not participate in meetings involving personnel decisions.
- Use of hotel contracts and car rental contracts with OSU/Big Ten.
- The provision of office space, secretarial support, office supplies, and computer use, either at retirement or anytime thereafter, at the sole discretion of each TIU and/or college.

### **2.3.1.7 Courtesy appointments for tenure-track, clinical/teaching/practice, or research faculty**

Revised: 03/25/05; 6/18/19

This section is used to establish criteria for making and continuing courtesy appointments.

Courtesy appointments are warranted only if they are accompanied by substantial involvement in the academic work of the TIU. Criteria should include the expectations for such involvement. Unlike associated appointments, courtesy appointments do not require formal annual renewal, but continuation of the appointment should reflect ongoing involvement.

### **2.3.2 Procedures**

Revised: 03/25/05

#### **2.3.2.1 Tenure-track faculty**

Revised: 06/25/18; 5/15/20; 8/15/21

OAA requires a national search to ensure a diverse pool of highly qualified candidates. Requests for exceptions to this policy must be submitted to OAA. Search procedures must entail substantial faculty involvement and be consistent with the OAA Policy on [Faculty Recruitment and Selection](#).

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

Within 24 months prior to a search, every search committee member is required to have participated in an orientation on hiring for inclusive excellence available through the TIU's college with resources from the [Office of Diversity and Inclusion](#). Implicit bias training, such as that available through the [Kirwan Institute for the Study of Race and Ethnicity](#), is also required of all search committee members prior to any search. Every search committee must have a diversity advocate with special responsibility for assuring that the search is conducted according to affirmative action principles. See the Office of Institutional Equity policy on [Affirmative Action, Equal Employment Opportunity, and Non-Discrimination/Harassment](#) for guidance concerning this role.

Advertising is rarely sufficient to accomplish the above goals. Networking and other forms of personal contact with those in a position to recommend or to be candidates are usually required. Additional resources are available at the [Office of Diversity and Inclusion](#).

Appointments at senior rank require prior approval by the college dean and OAA. The university may only award tenure to faculty members who are: (1) U.S. citizens or nationals; (2) permanent residents ("green card" holders); (3) asylees or refugees; or (4) individuals otherwise described as "protected individuals" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b).

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

The required documentation for appointments at senior rank and junior appointments with prior service credit can be found in the [Faculty Appointments Policy](#).

### **2.3.2.2 Regional campus faculty**

Revised: 03/25/05

The regional campus has primary responsibility for determining the position description for a faculty search, but is to consult with, and reach agreement on, the description with the head of the TIU that will serve as the TIU for the appointee. The search committee for the position is to include representation from both the regional campus and Columbus campus TIU.

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

### **2.3.2.2 Clinical/teaching/practice faculty**

Revised: 06/15/10; 6/18/19

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

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

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

### **2.3.2.3 Research faculty**

Revised: 06/15/10

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

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

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

### **2.3.2.4 Transfer from the tenure track**

Revised: 07/15/19

Tenure-track faculty may transfer to a clinical/teaching/practice or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the TIU head, the college dean, and the executive vice president and provost.

Transfers from clinical/teaching/practice or research appointments to the tenure track are not permitted.



### **2.3.2.5 Associated faculty**

Revised: 06/15/10

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

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

### **2.3.2.6 Regional campus faculty**

Revised: 03/25/05; 8/15/21

The regional campus has primary responsibility for determining the position description for a faculty search, but is to consult with, and reach agreement on, the description with the head of the TIU that will serve as the TIU for the appointee. The search committee for the position is to include representation from both the regional campus and Columbus campus TIU.

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

### **2.3.2.7 Courtesy appointments for tenure-track, clinical/teaching/practice, or research faculty**

Revised: 03/25/05; 6/18/19

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

## **2.4 Annual performance and merit review**

Revised: 08/04/09; 5/15/20

Explain the procedures for the annual performance and merit review of each category of faculty in the TIU. Every compensated faculty member must have an annual performance review that includes a scheduled opportunity to hold a face-to-face meeting with the TIU head or the TIU head's designee. See [Faculty Annual Review and Reappointment Policy](#).

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

### **2.4.1 Documentation**

Revised: 07/15/19; 5/15/20

For their annual performance and merit review, faculty members must submit the following documents to the TIU head according to the schedule specified in the TIU's APT document:

- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required for probationary faculty and recommended for associate professors*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)



Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. It is essential that the unit require adequate documentation of faculty performance in teaching; research and creative activity; and service. This section should list the documents that faculty must submit for annual performance reviews and consideration for salary increases.

### **2.4.2 Probationary tenure-track faculty**

Revised: 03/25/05

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

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

See the [Faculty Annual Review and Reappointment Policy](#) for OAA guidelines on the annual review process of probationary tenure-track faculty.

#### **2.4.2.1 Probationary tenure-track faculty at a regional campus**

Revised: 03/25/05

See the [Policy on Faculty Annual Review](#) for OAA guidelines on the annual review process of probationary tenure-track faculty.

#### **2.4.2.1 Fourth-Year Review**

Revised: 03/25/05

See the [Faculty Annual Review and Reappointment Policy](#) for OAA guidelines on the Fourth-Year Review process of probationary tenure-track faculty.

#### **2.4.2.2 Exclusion of time from the probationary period**

Revised: 03/25/05; 8/15/21

Faculty Rule [3335-6-03](#) (D) sets forth the conditions under which a probationary tenure-track faculty member may exclude time from the probationary period. See also Volume 1, Chapter 2, Section 1.4.5, for additional OAA guidelines on the exclusion of time from the probationary period of probationary tenure-track faculty.

### **2.4.3 Tenured faculty**

Revised: 03/25/05

#### **2.4.2.1 Tenured faculty at a regional campus**

Revised: 03/25/05

See the [Policy on Faculty Annual Review](#) for OAA guidelines on the annual review process of probationary tenured faculty at a regional campus.

See the [Faculty Annual Review and Reappointment Policy](#) for OAA guidelines on the review of tenured faculty.

#### **2.4.4 Clinical/teaching/practice faculty**

Revised: 03/25/05; 6/18/19

See the [Faculty Annual Review and Reappointment Policy](#) for OAA guidelines on the review of clinical/teaching/practice faculty.

#### **2.4.5 Research faculty**

Revised: 03/25/05

See the [Faculty Annual Review and Reappointment Policy](#) for OAA guidelines on the review of research faculty.

#### **2.4.6 Associated faculty**

Revised: 03/25/05

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

#### **2.4.7 Regional campus faculty**

Revised: 03/25/05; 8/15/21

Regional campus tenure-track 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 TIU head, from which point the review follows the procedures described for the Columbus campus faculty. A request to promote requires agreement by the dean/director and the TIU head.

Regional campus clinical/teaching/practice faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. Following the review, the dean/director consults with the faculty member's TIU head. A request to promote follows the same procedures as tenure-track faculty except that external letters are not needed unless scholarship is a component of the assigned role.

The review of regional campus research faculty takes place on the Columbus campus and follows the same procedures as those described above for Columbus campus research faculty. Following the review, the TIU head will consult with the regional campus dean/director. A request to promote requires agreement by the regional campus dean/director and the TIU head.

Associated faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The decision of the regional campus dean/director is final.

#### **2.4.8 Salary recommendations**

Revised: 03/25/05; 07/15/19

Clearly state the criteria for salary increases and any other performance-based rewards (see the [Policy on Faculty Compensation](#)).

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

## **2.5 Promotion and tenure and promotion reviews**

Revised: 03/25/05

### **2.5.1 Criteria and documentation that support promotion**

Revised: 05/05/16; 5/15/20; 8/15/21

Include general statements about the quality of performance in teaching, research, and service expected for promotion and tenure or promotion. Teaching, research, and service are not in themselves criteria, nor are teaching evaluations or publications. A list of evidence to be examined belongs under “Documentation” (see Section 2.5.1.3: Documentation) below.

Although criteria will vary both according to unit mission and the specific responsibilities of each faculty member, every candidate is to be held to a standard of excellence in all aspects of performance. Though the total body of work over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on achievements while a faculty member is at Ohio State. It is essential that the pattern of performance over the probationary period yields a high degree of confidence that the candidate will continue to develop professionally.

Above all, candidates are to be held to a very high standard of excellence in the areas central to their responsibilities. For example, if a candidate’s documented primary responsibility in teaching is and will continue to be undergraduate teaching, then excellence in undergraduate teaching should be required. Under-performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual’s responsibilities. Similarly, performance in secondary areas should not be assessed with the same rigor as performance in the primary area. Units may also, if they wish, define excellence in teaching, research, and service to include professional ethical conduct consistent with the [American Association of University Professors’ Statement on Professional Ethics](#).

#### **2.5.1.1 Citizenship, collegiality, and/or ethical behavior**

Revised: 07/26/04

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

#### **2.5.1.2 Promotion to associate professor with tenure**

Revised: 03/25/05

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

### 2.5.1.3 Documentation

Revised 07/15/19

Describe in detail the specific criteria and the documentation that will be examined in assessing whether promotion and/or tenure is merited. Criteria and documentation will vary according to the field of study and the unit's mission. The OAA core dossier outline (see [Policies and Procedures Handbook](#), Volume 3, Section 4.1: Outline; see also Section 2.5.2.3 in this Handbook chapter) serves as a basic standard for documentation, but a unit is not limited to assessing the stated items. Appendix A in the [Sample Appointments, Promotion, and Tenure document](#) provides examples of criteria and documentation that units may elect to use, or which may serve as guidelines for units developing their own criteria and documentation.

Units may weigh forms of documentation differentially as appropriate to their mission and to the responsibilities of the candidate. In some fields of study or in some instances, an item listed in one area may be considered a reflection of performance in another area.

General guidelines appear in Sections 2.5.1.4, 2.5.1.5, and 2.5.1.6 below.

### 2.5.1.4 Teaching

Revised: 06/25/18; 6/18/19; 5/15/20; 8/15/21

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

Faculty members are expected to participate in continuing education related to their teaching assignments. All faculty are expected to complete the [Drake Institute Teaching Support Program](#).

### 2.5.1.5 Research and creative activity

Revised: 03/25/05; 6/18/19

When the product of scholarship is primarily disseminated in the form of publications, documentation could include the measures of the quality of the publication outlets, internal evaluation of the candidate's work, and frequency with which the candidate's work is cited by others, if appropriate. External funding for research may be a form of documentation of scholarship (aside from its importance in facilitating the conduct of research) when the review processes that lead to its receipt are measures of the quality of a faculty member's past and planned research.

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

External evaluations of scholarship are required. Units should nonetheless make every effort to assess the quality of a candidate's work from multiple approaches rather than rely solely on the external letters of evaluation. Total reliance on external evaluations is inappropriate, possibly leading to decisions that are inconsistent with TIU standards and expectations.

### 2.5.1.6 Service

Revised: 03/25/05

Activities generally considered to be service include:

- administrative work for the TIU, college, or university;
- service to the profession such as leadership roles and editorial and reviewing activities; and
- application of professional expertise in outreach to the community (community outreach not germane to a faculty member's professional expertise is not relevant to promotion and tenure reviews).

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

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

### 2.5.1.7 Promotion to associate professor without tenure (for clinical departments in the College of Medicine)

Revised: 06/15/10

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

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

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

### 2.5.1.8 Promotion to professor

Revised: 06/18/19; 6/18/19; 5/15/20; 8/15/21

See [Faculty Rule 3335-6-02\(C\) and \(D\)](#). Promotion standards are to reflect the reality that (a) not all faculty members have the same distribution of assignments, (b) not all faculty members will be able to contribute excellence equally in all evaluation dimensions, and (c) there is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively.

Promotion to professor is to be awarded not only to those faculty who have demonstrated impact in their research and creative activity, teaching and learning, and service, but also to those who have exhibited outstanding academic leadership excellence in the scholarship of leadership to make that has made a visible and demonstrable impact upon the mission of the TIU and The Ohio State University. This should be clearly documented in the TIU's APT document.

### **2.5.1.9 Regional campus faculty**

Revised: 03/25/05

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

- The primary function of the regional campuses is to provide high quality undergraduate instruction and to serve the academic needs of their communities.
- Regional campus faculty are expected to establish a program of high quality scholarly activity, but the character and quantity of that activity may differ from that of Columbus campus faculty because of the weight of other responsibilities and because of lack of access to comparable resources. For example, regional campus faculty do not have graduate teaching associates to assist them in their teaching, nor do they generally have access to research facilities comparable to those of Columbus based faculty.
- Teaching and service responsibilities of regional campus faculty are often more substantial than those of Columbus based faculty.

### **2.5.1.9 Clinical/teaching/practice faculty**

Revised: 03/25/05; 6/18/19

Because clinical/teaching/practice faculty may be hired at the rank of instructor, this section is to describe the criteria for promotion to clinical/teaching/practice assistant professor, associate professor, and professor. These criteria are to reflect the fact that clinical/teaching/practice faculty members are primarily engaged in patient care or professional practices and clinical/teaching/practice instruction. Any expectations for scholarly work should be substantively different from those for tenure-track faculty.

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

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

### **2.5.1.10 Research faculty**

Revised: 03/25/05

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

### **2.5.1.11 Associated faculty**

Revised: 8/15/21

This section is to describe the criteria for promotion, as appropriate, to adjunct associate professor and adjunct professor; to associate professor and professor with FTE below 50%; to clinical associate

professor practice and clinical professor of practice; and to senior lecturer. Criteria will vary, depending on the nature of appointment.

#### **2.5.1.12 Regional campus faculty**

Revised: 03/25/05

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

- The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities.
- Regional campus tenure-track faculty are expected to establish a program of high-quality scholarly activity, but the character and quantity of that activity may differ from that of Columbus campus faculty because of the weight of other responsibilities and because of lack of access to comparable resources. For example, regional campus faculty do not have graduate teaching associates to assist them in their teaching, nor do they generally have access to research facilities comparable to those of Columbus-based faculty.
- Teaching and service responsibilities of regional campus faculty are often more substantial than those of Columbus-based faculty.
- In evaluating regional campus clinical/teaching/practice faculty, research faculty, and associated faculty for promotion, TIUs will use the same criteria that they use for the promotion of their faculty in each of these categories.

#### **2.5.2 Procedures for tenure-track, clinical/teaching/practice, and research faculty**

Revised: 03/25/05; 07/15/19; 8/15/21

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

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

Include a description of how the unit will determine which faculty members to review for promotion in rank or for non-mandatory promotion and tenure. Screening reviews are encouraged, as premature reviews are costly in many ways and should be avoided. [Faculty Rule 3335-6-04\(A\)\(3\)](#) states that a unit may establish screening procedures with the limitation that a tenured faculty member who asks to be reviewed for a promotion in rank cannot be denied consideration for promotion for more than one year. A non-tenured faculty member may be denied a non-mandatory promotion and tenure review each year up to the year of the mandatory review.

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



### 2.5.2.1 Responsibilities of the review parties

Revised: 02/15/13; 07/20/17; 07/15/19; 8/15/21

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

#### 2.5.2.1.1 Responsibilities of the candidate

Revised: 8/15/21

Every candidate must submit a complete and accurate dossier in accordance with the Office of Academic Affairs dossier outline. See [Policies and Procedures Handbook](#) Volume 3, Section 4.1: Outline. All candidates with a start date of August 2018 or later must use VITA for the dossier. All candidates must use the OAA format and outline regardless of start date. Include the approximate timing for each stage of the review and who is responsible for verifying the accuracy of citations and other aspects of candidates' dossiers.

Candidates must also submit a copy of the APT under which they wish to be reviewed. They may submit their TIU's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year.

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to TIU guidelines.

#### 2.5.2.1.2 Responsibilities of the P&T committee (or the committee of the eligible faculty, if the TIU does not delegate these responsibilities to a P&T committee)

Revised: 8/15/21

In describing the role of the P&T committee, include the responsibility to confirm with the TIU head the status of an untenured faculty member seeking non-mandatory tenure review. Faculty members who do not have status as a "protected individual" under the immigration laws are not to be considered for promotion.

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

#### 2.5.2.1.3 Responsibilities of the TIU head

Revised: 8/15/21

In describing the role of the TIU head, include the responsibility to determine whether a candidate is authorized to work in the United States and whether a candidate will require sponsorship for an employment visa or immigration status. State that faculty members who are not 1) U.S. citizens or nationals; (2) permanent residents ("green card" holders); (3) asylees or refugees; or (4) individuals



otherwise described as “protected individuals” pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b) may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until the status is established.

### **2.5.3 Procedures for associated faculty**

Revised: 8/15/21

Adjunct faculty, associated faculty with tenure-track titles, and associated clinical faculty for whom promotion is a possibility must follow the promotion guidelines and procedures prescribed by their department/school. The review does not proceed to the college level if the TIU head’s recommendation is negative, and does not proceed to the executive vice president and provost if the dean’s recommendation is negative.

### **2.5.4 Procedures for regional campus faculty**

Revised: 03/25/05; 8/15/21

Regional campus tenure-track faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The regional campus review focuses on teaching and service. The regional campus dean forwards the report and recommendation of the regional campus review to the TIU head, from which point the review follows the same procedures as for Columbus campus faculty.

Regional campus clinical/teaching/practice faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. Following the review, the dean/director consults with the faculty member’s TIU head. A request to promote follows the same procedures as tenure-track faculty except that external letters are not needed unless scholarship is a component of the assigned role.

The review of regional campus research faculty takes place on the Columbus campus and follows the same procedures as those for Columbus campus research faculty. Following the review, the TIU head will consult with the regional campus dean/director. A request to promote requires agreement by the regional campus dean/director and the TIU head.

Associated faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The decision of the regional campus dean/director is final.

### **2.5.5 External evaluations**

Revised: 03/25/05; 5/15/20

Describe how a slate of potential evaluators is determined, who is responsible for contacting the evaluators, and the timetable for requesting external evaluations. Include what aspects of performance these persons are asked to evaluate and what materials are provided to them. See Volume 3, Section 3.6: External Evaluations, for advice on these matters.

If a candidate is asked to provide names of external evaluators, the number of names suggested by the candidate should be restricted to three ~~to four~~ to avoid limiting the number of credible evaluators available to be suggested by others. No more than half of the external evaluations may come from evaluators recommended by the candidate.

## 2.6 Appeals

Revised: 03/25/05

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

## 2.7 Seventh-Year Review

Revised: 03/25/05

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

## 2.8 Procedures for Student and Peer Evaluation of Teaching

Revised: 06/25/18

### 2.8.1 Student evaluation of teaching

Revised: 06/15/15; 6/18/19; 5/14/20

Student evaluation is focused on students' perceptions of instruction, taking into account those factors shown by research to affect such responses, including class size and whether the course was required or an elective in the student's program. The TIU must set forth a detailed plan for obtaining student evaluation information to be used in faculty performance reviews. Faculty must use a standard, objective, TIU-approved tool for student evaluation. As noted above, the TIU's selection of an assessment tool is subject to the approval of the dean of the college. This assessment tool may be generated by the unit, or the Ohio State SEI may be used. For required components and further discussion see Volume 1, Chapter 2, Section 1.4.4.2: Student Evaluation.

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

Other methods of documenting student evaluation of teaching include:

- assessment of the success of the candidate's current and former graduate students and post-docs;
- validated questionnaires collecting data from graduate students.

### 2.8.2 Peer evaluation of teaching

Revised: 8/01/14; 6/18/19; 5/15/20

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

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

TIUs may select from among many modalities of peer review. See the [Drake Institute for Teaching and Learning](#) for links to online resources at Ohio State and at other institutions, as well as published sources that offer principles and methods for the formative and summative evaluation of teaching. TIUs must not only establish guidelines governing evaluation of instruction but also abide by those guidelines, applying them evenly and without prejudice. For further discussion, see Volume 1, Chapter 2, Section 1.4.4: Evaluation of Instruction.

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

### **3.0 Updating obsolete material in TIU governance documents**

Revised: 06/15/15; 6/18/19

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

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

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

For matters relating to Employee and Labor Relations, please contact OHR, [Employee and Labor Relations](#), (614) 247-6947.

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

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

[Faculty Rule 3335-5-19](#) has been revised. "Track" refers only to tenure-track faculty.

[Faculty Rule 3335-5-19](#) has been revised. Clinical associated appointments are now called "clinical practice faculty."

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

Faculty Rule [3335-7](#) has been revised to change the titles of clinical faculty allowed to clinical, teaching, or practice faculty. Units must write specific criteria to match the title(s) selected by the units.

[Faculty Rule 3335-7-03](#) has been revised. Unless an exception is approved by the University Senate and the Board of Trustees, clinical/teaching/practice faculty may comprise no more than forty percent of the total tenure-track, clinical/teaching/practice, and research faculty (as defined in Rule [3335-5-19](#) of the Administrative Code) in each of the colleges of the health sciences and no more than twenty percent of the tenure-track, clinical/teaching/practice, and research faculty in all other colleges. In all tenure-initiating units not in health sciences, the number of clinical/teaching/practice track faculty members must be fewer than the number of tenure-track faculty members in each unit.

## Office of Academic Affairs

### Policies and Procedures Handbook: Volume 1

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## 1.0 Tenure initiating unit

Revised: 06/15/10; 8/15/21

The concept of the TIU (tenure initiating unit) 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). A TIU also serves as the primary appointment home for clinical/teaching/practice faculty, research faculty, and associated faculty.

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. ~~Tenure-track faculty~~ Eligible faculty members with multiple appointments may vote on promotion and, where appropriate, tenure matters only in their designated TIU (see Office of Academic Affairs Policies and Procedures Handbook, Volume 1, Chapter 1, Section 1.4: Faculty and voting rights, for information on faculty governance rights) ~~designated as their tenure home~~. In annual reviews and promotion and tenure reviews, TIUs should seek input from all units where the faculty member has an appointment.

### 1.1 Chairs and directors (TIU heads)

Revised: 05/05/16; 07/20/17; 6/19/19; 5/15/20; 8/15/21

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

TIU heads are appointed by the college dean, subject to the formal approval of the executive vice president and provost, president, and the Board of Trustees (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 may also appoint 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 Office of Academic Affairs (OAA) compensation policies (see [Faculty Compensation Policy](#)).

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 under [Faculty Rule 3335-3-35\(B\)](#). Interim or acting TIU heads must be faculty members or emeritus faculty members from a TIU within the college, unless an exception is made by the executive vice president and provost.

For additional information on the review of principal administrative officials, see [Board of Trustees Bylaw 3335-1-03\(G\)](#).

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.

Appointment of an external TIU head at senior rank requires approval by the eligible faculty, the college dean, and OAA. The process is to be managed by another TIU head in the college. See [Faculty Appointments Policy](#).

Appointments are typically effective on July 1 for 12-month appointees (end date June 30). The July 1 reappointment date is used even if the first appointment as TIU head was on a mid-year date.

### **1.1.1 Definitions**

Revised: 11/09/04

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

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. Such appointments are subject to annual reviews and may be removed before the end of the appointment period.

### **1.3 TIU staff**

Revised: 02/15/13; 5/15/20

The TIU head is responsible for appointing, supervising, and evaluating the staff of the unit. This responsibility may be delegated in larger units, 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 Employee and Labor Relations (614-247-6947). The OHR home page may be found [here](#).

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

Revised: 03/25/05; 5/15/20

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 additional compensation, subject to the 20% cap that applies equally to faculty and staff.

### **1.4 TIU faculty**

Revised: 04/01/99



### 1.4.1 Units approved for clinical/teaching/practice faculty

Revised: 06/26/18; 6/19/19; 5/15/20; 8/15/21

This is a list of colleges (**bold**), departments, and schools approved for clinical/teaching/practice faculty. Unless an exception is approved by the University Senate and the BOT, clinical/teaching/practice faculty may comprise no more than 40% of the total tenure-track, clinical/teaching/ practice, and research faculty in the following colleges of the Health Sciences: Nursing, Optometry, Pharmacy, Public Health, Veterinary Medicine.

Clinical/Teaching/Practice faculty may comprise no more than 20% of the tenure-track, clinical/teaching/practice, and research faculty in non-Health Sciences colleges. In all TIUs not in the health sciences, the number of clinical/teaching/practice plus research faculty members must be fewer than the number of tenure-track faculty members in each unit. The Colleges of Nursing, Dentistry, and Veterinary Medicine have approved exceptions. Clinical/teaching/practice faculty in the Colleges of Nursing and Dentistry may comprise no more than 75% of the total tenure-track, clinical/teaching/practice, and research faculty.

Clinical/teaching/practice faculty in the College of Veterinary Medicine may comprise no more than 65% of the total tenure-track, clinical/teaching/practice, and research faculty. The College of Medicine has an approved exception and has no appointment cap in clinical TIUs; in all other TIUs in Medicine, clinical/teaching/practice faculty may comprise no more than 40% of the tenure-track, clinical/teaching/practice, and research faculty.

Units that impose a stricter limit are noted in parentheses. For all units without an approved exception, the combined number of research plus clinical/teaching/practice faculty positions in a unit must constitute a minority with respect to the number of tenure-track faculty in the unit.

#### **Arts and Sciences**

Communication (10)

**French and Italian**

Psychology

Speech and Hearing Science

#### **Business**

**Dentistry (75)**

#### **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 and Engineering

Mechanical and Aerospace Engineering (10)

#### **Food, Agricultural, and Environmental Sciences**

Agricultural Communication, Education and Leadership

Agricultural, Environmental, and Development Economics

Agricultural Technical Institute

Animal Sciences

Entomology

Environment and Natural Resources\*

Extension

Food, Agricultural, and Biological Engineering

Horticulture and Crop Science

Plant Pathology

#### **Law**

#### **Medicine**

Anesthesiology

Biological Chemistry and Pharmacology (40)

Biomedical Education & Anatomy

Biomedical Informatics

Cancer Biology and Genetics

Emergency Medicine

Family **and Community** Medicine

Health and Rehabilitation Sciences (40)

Internal Medicine

Microbial Infection & Immunity

Neurological Surgery

Neurology

Neuroscience

Obstetrics and Gynecology

Ophthalmology and Visual Sciences

Orthopaedics

Otolaryngology—Head and Neck Surgery

Pathology

Pediatrics

Physical Medicine and Rehabilitation

Physiology and Cell Biology

Plastic and Reconstructive Surgery

Psychiatry and Behavioral Health

Radiation Oncology

Radiology

Surgery  
Urology  
**Nursing (75)**  
**Optometry**  
**Pharmacy**  
**Public Health**

**Public Affairs**  
**Veterinary Medicine (65)**  
Veterinary Biosciences  
Veterinary Clinical Sciences  
Veterinary Preventive Medicine

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

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

### 1.4.2 Units approved for research faculty

Revised: 05/05/16; 6/19/19; 8/15/21

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 combined number of research plus clinical/teaching/practice 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**

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, Agricultural, and Environmental Sciences**

Animal Sciences  
Entomology  
Environment and Natural Resources  
Food, Agricultural, and Biological Engineering  
Food Science and Technology

#### **Medicine**

Biomedical Informatics (49)  
Biological Chemistry and Pharmacology  
Cancer Biology and Genetics  
Family **and Community** Medicine  
Health and Rehabilitation Sciences  
Internal Medicine  
Microbial Infection and Immunity  
Neurological Surgery  
Neuroscience  
Obstetrics and Gynecology  
Pediatrics  
Physical Medicine and Rehabilitation  
Physiology and Cell Biology (33)  
Plastic and Reconstructive Surgery  
Psychiatry and Behavioral Health  
Radiation Oncology  
Radiology  
Surgery  
Urology  
**Nursing**  
**Optometry (30)**  
**Pharmacy**  
**Public Health**  
**Veterinary Medicine**  
Veterinary Biosciences

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

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

### **1.4.3 Duties and responsibilities**

Revised: 06/15/10

OAA requires TIUs, in cooperation with their colleges, to establish guidelines that describe the allocation of effort in the unit 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](#).

Using the guidelines developed by the Ohio Board of Regents' Advisory Committee (now the Ohio Department of Higher Education) as a basis for the university policy as well as college and TIU guidelines, the following range of teaching responsibilities applies to all colleges, schools, and departments whose missions include undergraduate students.

- TIUs 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.
- TIUs 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.
- TIUs with active baccalaureate, master's, 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 TIU guidelines should define the range and general expectations regarding teaching, research/creative activity, and service, as well as service responsibilities in terms of the academic mission of the college and TIU.

Guidelines should provide for a differentiation of faculty roles and recognize the fact that different colleges within the university and different TIUs within each college have different missions, resulting in differing expectations for various colleges and TIUs. These expectations should be acknowledged by college guidelines on faculty duties and responsibilities. They should recognize that TIUs within a college may have different, but equally valuable, missions and that faculty within TIUs may make different, but equally valuable, contributions to those missions.

The purpose of TIU guidelines on faculty duties and responsibilities is to identify the relative emphasis to be placed on teaching, research and creative activity, and service. Where appropriate, the TIU 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 TIUs, 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.

A TIU's guidelines on faculty duties and responsibilities should consider the 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/creative activity, and service
  - The TIU head is responsible for achieving this balance for the TIU 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 and creative activity by the faculty

The mission of the TIU 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 TIUs and, as a result, there will be differences among TIUs in the relative amounts of effort faculty spend in their teaching, research/creative activity, engagement, and service responsibilities. Within TIUs, 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 teaching, the TIU head 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 according to Section III of the OAA [Faculty Appointments Policy](#).

All programs may not fit administratively into one of the categories described above. For example, some TIUs have graduate programs but no, or few, undergraduate ones; this may be the case in the health sciences and some of the professional colleges. In such cases, the appropriate proportion of time that an academic unit devotes to teaching should be determined by the TIU head in consultation with the college dean, subject to the approval of the executive vice president and provost.

#### **1.4.3.1 Teaching**

Revised: 04/01/99, 5/15/20

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 and school, 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 TIU head is responsible for assuring that every faculty member has duties and responsibilities commensurate with their appointment and that unit workload is distributed equitably among faculty. Although faculty members are expected to exercise "self-determination" in conducting their research or other scholarly activity, the TIU head is responsible for assigning teaching and, in most cases, TIU service.

In making these assignments, the TIU head must balance the needs of the TIU with the preferences of the faculty member within the context of the TIU's policy on faculty duties and responsibilities.

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 TIU head, dean, and OAA through an approved leave of absence form. Absences of more than ten consecutive business days require approval by OAA.

#### **1.4.3.1.1 Faculty teaching workload**

Revised: 04/01/99; 5/15/20

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

The dean of each college, in consultation with the executive vice president and provost and the college's TIU heads, is responsible for approving the appropriate division of workload expectations for each TIU

according to the TIU's level of activity in the degree programs it offers. In determining the relative emphasis that a given TIU would place upon undergraduate programs, research/creative activity, 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/creative activity and teaching are seen as two inseparable facets of the learning experience for both faculty and students.

#### **1.4.3.2 Research and Creative Activity**

Revised: 04/01/99

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 TIUs 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. Given that 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

A unit's guidelines on faculty duties and responsibilities must include a statement regarding expectations for faculty participation in TIU, 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 TIU's policy on faculty duties and responsibilities. These activities often benefit the TIU 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 TIU's need to meet its programmatic obligations may become issues when a faculty member seeks relief from departmental obligations to devote considerable time to personal professional interests that may not contribute to TIU goals. The TIU head may decline to approve such requests when approval is not judged to be in the best interests of the TIU.

#### **1.4.4 Evaluation of instruction**

Revised: 04/16/02; 07/17/19

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.



Assessment may be made by peers within the unit or external evaluators as determined by procedures established by the TIU. Such reviews should, in general, be completed by senior faculty for probationary faculty and by professors for associate professors.

Peer evaluation conducted for the purpose of informing reviews for promotion and tenure or promotion should be completed early enough to allow for the use of feedback for improvement and often enough and across a sufficient range of instructional contexts to provide a meaningful body of evidence.

The Drake Institute for Teaching and Learning offers a [Teaching Portfolio Development guide](#) with links to resources at Ohio State and at other institutions that outline principles and methods for formative and summative evaluation of teaching. These resources are intended to assist both individual faculty planning to evaluate their teaching and academic units developing statements on policy and procedures.

#### **1.4.4.1 Peer evaluation**

Revised: 04/16/02; 07/17/19; 8/15/21

Successful peer evaluation entails a commitment of time and resources as units educate faculty on evidence-based practices and develop and implement specific policies and procedures. OAA does not require any particular form of peer evaluation; however, units are required to develop detailed plans that are appropriate for their instructional contexts. Additionally, any peer evaluation of teaching should provide critical feedback to the faculty member being reviewed so they may use that feedback to improve their teaching.

Resources on peer evaluation of teaching are available [here](#).

##### **1.4.4.1.1 Required**

Revised: 05/05/16; 07/20/17; 07/17/19; 8/15/21

Periodic peer evaluation is required for all tenure-track, clinical/teaching/practice faculty, and associated faculty with multiple-year appointments who deliver formal course instruction. In addition, if teaching is a component of a faculty member's assignments, peer evaluation for promotion is required and must include at least two new summative evaluations occurring at each promotion (assistant to associate and associate to professor) and reappointment, with the exact number to be determined by the TIU in line with college guidelines. OAA recommends a greater number of summative peer evaluations for faculty members with high teaching loads. If faculty members teach in multiple modes, for example, online and in-classroom, all methods should be evaluated.

Peer evaluation is the responsibility of the TIU head and faculty of the TIU, not the individual faculty member being reviewed. However, the individual faculty member is responsible for knowing how many peer reviews are expected, and to confirm with the TIU head that they will occur. The TIU head and the TIU faculty must determine the methods of peer evaluation that work best for the particular unit and apply them consistently.

##### **1.4.4.1.2 Recommended**

Revised: 04/16/02; 07/17/19

Peer evaluation should focus on aspects of teaching most effectively assessed by other experts in the discipline such as appropriateness of curricular choices, implicit and explicit goals of instruction, choice of examination/evaluation materials, and consistency with highest standards of disciplinary knowledge/research and evidence-based practices. Peer evaluation should have clear goals and be grounded in a unit culture that values teaching excellence. Classroom observations should not serve as the

sole method for peer evaluation of teaching effectiveness. All faculty should also be encouraged to seek formative assessment of their teaching prior to mandatory reviews for tenure or promotion.

#### **1.4.4.1.3 Instruction**

Revised: 04/16/02; 07/17/19

Peer evaluation of instruction should focus on assessing the appropriateness of evidence-based teaching strategies deployed in the particular learning context (survey, major-required course, lab, seminar, etc.). This assessment may include evaluating delivery of content, engagement of students, relevance of topics covered, and evidence that the objectives of the session were met.

#### **1.4.4.1.4 Course materials**

Revised: 08/04/09; 07/17/19

Peer evaluation of teaching should include an examination of syllabi, assignments, projects, and examinations to determine the extent to which:

- learning outcomes and course objectives are appropriate;
- course materials and assignments are current, relevant, and consistent with course objectives;
- syllabi are effective maps of the course and invitations to students to actively engage in their learning process;
- feedback on assignments is appropriately detailed and contributes to learning;
- examinations and projects offer opportunities for students to demonstrate learning and mastery of learning outcomes; and
- there have been responses to formative peer evaluations and SEI feedback, including comments by students.

#### **1.4.4.1.5 Guidelines for revising current practices**

Revised: 03/15/02; 08/01/07; 07/17/19

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

When considering peer evaluation of teaching, the first step is to review current practices and seek effective change. 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 evaluation). For what purpose is teaching reviewed (the “why”)?
- Define “peer” (a “who” of peer evaluation). Who is eligible to conduct reviews of teaching?
- Define who will be reviewed (a second “who”). According to OAA guidelines, all faculty **who are engaged in formal** teaching must be reviewed periodically.
- Enumerate the range of practices defined as teaching (a “what” and “where” of peer evaluation). These practices may include classroom teaching, online or hybrid instruction, advising, dissertation and thesis advising, independent study, curriculum development.



- Articulate the areas of focus for evaluation of classroom teaching (articulation of course goals, use of evidence-based practices, mastery of course content, effective use of instructional methods and materials, appropriate evaluation of student work).
- Establish the processes by which peer evaluation of teaching will take place (the “how” of peer evaluation). What tools and methods will be used? What kinds of documentation will be required of faculty, peer evaluators, 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).

Once a unit has discussed and reached consensus on issues addressing peer evaluation, 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; and
- commit to further change and adjust the system if data suggests that is necessary.

Finally, units must “close the loop” by using the data gathered in peer evaluation 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 seek to use the data collected to make informed and equitable judgments about teaching when undertaking summative evaluation of teaching. Peer evaluation of teaching must also 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; 07/17/19

[Faculty Rule 3335-3-35\(C\)\(14\)](#) requires units to assure that students are given the opportunity to evaluate each course every time it is taught. The university recognizes the value of soliciting commentary from students on their experiences in the classroom. TIU faculty must develop and implement policies for collecting student input, including qualitative and quantitative data as appropriate, and establish procedures for interpreting data collected from students. TIUs should not rely solely on student responses to courses and instruction such as the Student Evaluation of Instruction (SEI) in assessing the quality of a faculty member’s teaching.

##### **1.4.4.2.1 Required**

Revised: 06/15/10; 07/17/19; 5/15/20; 8/15/21

Every TIU’s APT document must specify a single required method of soliciting student feedback in each distinct learning context (large lecture course, small seminar, online instruction). Faculty members may supplement this with other methods.

Student feedback must be solicited in every course regarding:

- instructor’s preparedness for class;
- clarity of communication;
- ability to generate interest in the course content;

- accessibility;
- ability to create a conducive learning environment; and
- timeliness of and quality of responses to student work.

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

If instruments are used in the P&T process that are not automated, the TIU must identify an individual other than the faculty member to 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. Information about the retention schedule for SEI comments can be found at the [Registrar's website](#). Such comments are not retained by the Registrar's Office and will be available only to instructors unless otherwise requested by the TIU.

#### **1.4.4.2.2 Recommended**

Revised: 06/15/10; 07/17/19; 8/15/21

Open-ended or semi-structured questions may be used to solicit student feedback; however, an aggregate summary must be compiled by an individual other than the faculty member. Student comments on instruction may be useful in identifying both areas of excellence and areas for improvement. When few student responses are available, they offer minimal basis for generalization unless themes arise across courses taught and over time. Student comments that aid specifically in the interpretation of the statistical data are useful.

Efforts should be made to maximize response rates. Decreased response rates resulting from the transition to online SEIs should not be cited as negative indicators.

When assessing teaching, TIU's should not rely solely on whether a faculty member does or does not meet or exceed the college or university mean in the cumulative average on the SEI. The focus of evaluation should be on patterns of responses, rather than on small differences in mean values.

#### **1.4.4.3 Administrator evaluation**

Revised: 06/26/18

TIU heads play a particularly important role in the definition, development, and implementation of appropriate practices of peer evaluation 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; and
- reviewing and documenting significant course redesign and completed by faculty member.

#### **1.4.4.4 Self-evaluation**

Revised: 04/16/02

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; and
- 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 promotion and tenure decisions.

#### **1.4.4.5 Interpretation and integration**

Revised: 04/16/02

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

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 of time from the probationary period**

Revised: 03/02/07

[See Faculty Rule 3335-6-03\(D\).](#)

##### **1.4.5.1 Birth of a child or adoption of a child**

Revised: 08/01/14; 5/15/20

The [Notification of Birth or Adoption of Child Form](#) is used to inform the university that a probationary tenure-track faculty member has had a child or has adopted a child while employed at Ohio State so that a year can be excluded from the faculty member's probationary period. Candidates may inform their TIU head, 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 [Faculty Rule 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; 8/15/21

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

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)(1)(b) for an unpaid leave of absence, or factors beyond the faculty member's control that hinder the performance of the duties associated with being a successful faculty member require, in addition to the form, the following items:

- TIU eligible faculty 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; and
- documentation of the faculty member's productivity to date (usually a CV).

The adverse event providing the basis for the request must be clearly beyond the experience of 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.

Requests to exclude time under Section (D)(1)(b) because of personal illness or care of a seriously ill or injured person require, in addition to the form, the following items:

- TIU head review;
- documentation deemed necessary by human resources and the TIU head;
- documentation of the faculty member's productivity to date (usually a CV)

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. A faculty member who has had time excluded from the probationary period may undergo promotion and tenure 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.

A negative decision resulting from a promotion and tenure review occurring prior to the revised mandatory review year (i.e., a nonmandatory review) will not result in nonrenewal of the probationary appointment. The faculty member still has the option of undergoing promotion and tenure review in the revised mandatory review year.

### **1.4.5.3 COVID-19 extension**

Revised: 8/15/21

Probationary tenure-track faculty who were in their probationary period during Spring 2020, Summer 2020, Autumn 2020, or Spring 2021 may request a one-year extension to their probationary period. This request will be automatically approved by their TIU head, dean, and OAA.

Faculty who have not yet completed their Fourth-year review may:

1. continue with their mandatory Fourth-year review in the originally scheduled year and move their mandatory tenure review by one year; or
2. move both their mandatory Fourth-year review and their mandatory tenure review by one year.

Faculty who choose one of the options above but later decide that they do not need the additional year in their probationary period may request a non-mandatory review following the policies and procedures laid out in each unit's Appointments, Promotion, and Tenure document.

Faculty who choose one of the options above should complete [Form 116](#) and email it to their TIU head or regional campus dean (where applicable). This form then will be submitted through DocuSign to the regional campus dean (where applicable), the TIU head, the college dean, and OAA for signatures.

Eligible faculty may opt in to this automatic extension of the mandatory review until April 1 of the academic year immediately preceding their mandatory tenure review.

#### **1.4.6 Part-time faculty**

Revised: 08/01/14; 5/15/20

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 two years 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](#).

#### **1.4.7 Reporting for duty**

Revised: 06/05/16; 6/19/19

Nine-month faculty members are generally expected to report for duty August 15<sup>th</sup> through May 14<sup>th</sup>. The period from Spring Commencement through May 14 is on duty for 9-month faculty members and may be used for end-of-the year meetings.

### **1.5 Course scheduling**

Revised: 08/01/14

Although 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 are to 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 students.

Units should review annually the patterns of enrollment in their course offerings, especially their elective offerings. Unit heads are to identify offerings that may represent a less than optimal use of instructional resources. Units are to discontinue, or not re-offer 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

The [Academic Organization, Curriculum, and Assessment Handbook](#) contains information on the creation of new courses and the abolishment of courses.

### **1.7 Instruction**

Revised: 08/01/07; 5/15/20

The Rules of the University Faculty contain 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](#)

Student assessment:

- [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 use a textbook or other material that is authored by the faculty member and the sale of which results in a royalty being paid to them, such textbook or material may be required for a course by the faculty member only if (1) the faculty member's TIU head/program director and dean or designee have approved the use of the textbook or material for the course taught by the faculty member, or (2) an appropriate committee of the TIU or college reviews and approves 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

The annually updated [Graduate School Handbook](#) contains the university policies on graduate associate appointments.

## **2.0 College administration**

Revised: 09/01/99

### **2.1 Deans**

Revised: 09/01/99

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 reappointment 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; 07/17/19

Deans may appoint associate and assistant deans as are needed to carry out the business of the college. The dean determines the terms of appointment. Vice dean may be used as a working title for associate dean.

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 be renewable. Associate and assistant deans are subject to annual review and may be removed before the end of the appointment period.



### **2.2.1 Associate deans**

Revised: 08/01/01

Associate deans' duties may include considerable decision-making authority in academic areas such as research/creative activity, 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

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

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

## **3.0 Regional campuses**

Revised: 07/26/04

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 Columbus 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 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; 6/19/19

For the powers of the [University Senate](#), see [Faculty Rule 3335-5-41](#).

The University Senate is the shared governing body of The Ohio State University. It is comprised of 71 faculty, 41 students (26 undergraduate, 10 graduate, and 5 professional), 5 staff members, and 24 administrators. Faculty members are elected from each of the 15 colleges, with the number of representatives proportional to the size of the college. Faculty representatives are also elected from each regional campus, the University Libraries, and the armed services departments. Student members are elected from the [Undergraduate Student Government](#) (USG), the [Council of Graduate Students](#) (CGS),



and the [Inter-Professional Council](#) (IPC). Staff members are selected by the [University Staff Advisory Committee](#). The administrative members of the Senate include the deans of each college, the president, the executive vice president and provost, and other senior leaders. Most of the business of the University Senate is conducted through its 19 committees.

## **5.0 Rules of the University Faculty**

Revised: 07/26/04; 07/17/19

Chapters of the [Rules of the University Faculty](#) with special relevance to faculty and academic administrators are:

<a href="#">3335-3</a>	Administration
<a href="#">3335-5</a>	Faculty, Governance and Committees
<a href="#">3335-6</a>	Tenure-track Faculty Appointments, Reappointments, and Promotion and Tenure
<a href="#">3335-7</a>	Clinical/Teaching/Practice & Research Faculty Appointment, Reappointment and Non-reappointment, and Promotion

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

<a href="#">3335-8</a>	Instruction
<a href="#">3335-9</a>	Attendance and Graduation
<a href="#">3335-11</a>	Student Affairs
<a href="#">3335-13</a>	University Property
<a href="#">3335-15</a>	Miscellaneous Provisions

## **5.1 Bylaws of the University Senate**

Revised: 07/26/04

<a href="#">3335-17</a>	Election Bylaws of University Senate
<a href="#">3335-19</a>	Bylaws of University Senate

## **5.2 Code of Student Conduct**

Revised: 07/26/04

<a href="#">3335-23</a>	Code of Student Conduct
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## **6.0 Faculty in memoriam resolutions**

Revised: 07/26/04

The BOT Office makes reasonable efforts to stay informed of deaths of active and emeritus faculty. 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 are sent to the family of the deceased.

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

Revised: 06/26/18; 5/15/20; 8/15/21

Ohio State must always be aware of and respond carefully to incidents or circumstances that increase risks to the university community. Below are general guidelines, including information about when and

how to access these resources for assisting and/or taking action when anyone of the university community experiences distress or causes a disruption.

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

If initial attempts to bring a stop to behaviors such as verbal outbursts or intimidation are not effective or are met with an escalation of anger, appropriate assistance is available from departmental Senior HR professionals, the Office of Human Resource Consulting, [the Office of Institutional Equity](#), or the University Employee Assistance Program (contact information for these two offices appears below).

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, [the Office of Institutional Equity](#), 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.

911 should be called any time there is concern for personal safety.

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 ([HR Policy 1.15](#))
- Workplace Violence Policy ([HR policy 7.05](#))
- Senior Human Resource Professionals in academic and work settings
- The [Office of Institutional Equity](#), OIE (614-247-5838)
- ~~The Office of Organization and Human Resource Consulting, OHRC (614-292-2800)~~
- The University [Employee Assistance Program](#), EAP (1-800-678-6265)
- [Crisis](#) Assessment Team ([CAT team](#)), [Office of Student Life](#) (614-292-5766)
- OSU Wexner Medical Center Security (614-293-8500); emergency (911)
- Guide to Assist Disruptive or Distressed Individuals, found on the front page of the [Suicide and Mental Health Task Force](#) site
- Columbus campus: OSU Police Department (614-292-2121); emergency (911)
- Lima campus: Campus Security Office (567-242-7400); emergency (911)
- Mansfield campus: Campus Security Office (419-755-4346 or -4218); emergency (911)
- Marion campus: Public Safety Office (740-725-6300); emergency (911)
- Newark campus: Public Safety Department (740-366-9237); emergency (911)

## **8.0 Ethics Law, Ohio**

Revised: 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](#) with its [Legal Topics page](#) and on the [Ohio Ethics Commission website](#).

## **9.0 Family Educational Rights and Privacy Act (FERPA)**

Revised: 08/01/0700

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](#).

## **10.0 Immunity, indemnification, and representation**

Revised: 06/26/18

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

University employees may in some circumstances be named as individual defendants in lawsuits 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 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 lawsuit 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](#).

## **11.0 Personal use of public property**

Revised: 09/01/99

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](#). 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

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 [Office of University Compliance and Integrity](#) 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 Office of University Compliance and Integrity. 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 Ohio State, authority for matters of records retention and disposition is vested in the [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](#).

## 13.0 Required email

Revised: 06/26/18; 5/15/20

The Ohio State University is committed to protecting the information created by and entrusted to us. Faculty and staff conducting university business by electronic mail are required to use the university-managed osu.edu mailbox and related systems. Using the OSU email account ensures that we are protecting information as required under state or federal laws and regulations.

## 14.0 Health and Safety

Revised: 7/17/20

Faculty must comply with all health and safety requirements mandated by the university to ensure the health and safety of the campus community. Faculty who fail to comply may be subject to corrective actions, including but not limited to disciplinary action under University Faculty Rule [3335-5-04](#).

## Office of Academic Affairs

### Policies and Procedures Handbook: Volume 1

#### Chapter 3: Appeals and Complaints Procedures

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## 1.0 Promotion and tenure and probationary renewal appeals

Revised: 07/08/11; 07/17/19; 5/15/20

Only the candidate may appeal a negative tenure, promotion, or probationary renewal decision.

Unsolicited commentary by colleagues, students, or others on behalf of a candidate will not be considered at any time during the promotion and tenure or probationary renewal review process and will not influence the course of an appeal.

Tenure Initiating Unit (TIU) heads, deans, and the executive vice president and provost normally will not discuss a promotion and tenure or probationary renewal decision with individuals who are not a party to the decision-making process.

Members of faculty review bodies and administrators are required to exercise professional judgment in considering the evidence that is material to making a fair determination in a promotion or tenure case. Differences in or disagreements with professional judgments do not provide a valid basis for appealing a negative promotion and tenure or probationary renewal decision.

Favorable annual reviews are not a basis for appealing a negative promotion and tenure or probationary renewal decision. A favorable annual review during the probationary period serves as the basis for a positive annual reappointment decision but does not imply a commitment to granting promotion or tenure with promotion. The review for tenure for faculty on the tenure-track and the penultimate year review for clinical/teaching/practice or research faculty entails a much weightier decision than the annual review and entails assessment of both cumulative performance and promise of high-quality performance. Performance that is adequate for annual reappointment may not be adequate for the granting of promotion or tenure with promotion (see [Faculty Rule 3335-6-05](#)) or securing a reappointment.

### 1.1 Allegation of improper evaluation

Revised: 05/05/16; 07/20/17; 3/20/18, 8/15/21

The primary basis for an appeal of a negative promotion, promotion and tenure, or probationary renewal decision is improper evaluation. Faculty members who believe they have been evaluated improperly may appeal a negative decision. Improper evaluation includes violations of (1) written procedures that could reasonably have affected the outcome of a review and/or (2) failure to consider evidence material to a fair determination.

A formal appeal cannot begin until the executive vice president and provost has rendered a decision in a promotion or promotion and tenure case for tenure-track faculty, in a promotion case for clinical/teaching/practice and research faculty, or the dean has rendered a decision in a reappointment case. in the case of tenure-track faculty, and those denied promotion in the case of clinical/teaching/practice and research faculty. However, a candidate occasionally may raise issues about the review process during the review, through the comments process provided for in [Faculty Rule 3335-6-04](#). When appropriate, these issues should be addressed at the time they are raised. The TIU head may wish to consult with the dean and/or the Office of Academic Affairs (OAA) regarding the best ways to address a particular issue.

An appeal alleging improper evaluation is reviewed in accord with procedures described in [Faculty Rule 3335-5-05](#).

All appeals must occur within 30 days of the date of the letter from either the TIU head or dean informing the faculty member of the executive vice president and provost's negative decision in a promotion or promotion and tenure case for tenure-track faculty, in a promotion case for clinical/teaching/practice and research faculty, or the dean has rendered a decision in a reappointment case. in the case of tenure-track

~~faculty, and those denied promotion in the case of clinical/teaching/practice and research faculty.~~ The faculty member may appeal by sending a written complaint describing the alleged improper evaluation to the chair of the Committee on Academic Freedom and Responsibilities (CAFR), copied to the executive vice president and provost **in cases involving promotion or promotion and tenure**, or the dean in the case of clinical/teaching/practice and research faculty **reappointments**, and shall meet with the chair of CAFR regarding the complaint and next steps.

The faculty member is to promptly inform the chair of CAFR and OAA if they decide not to pursue the appeal.

During the appeal process, the termination date for the faculty member remains the date provided in the letter informing the faculty member of the negative decision, unless changed by the executive vice president and provost.

## **1.2 Allegation of discrimination**

Revised: 05/05/16; 07/20/17; 07/17/19; 8/15/21

An appeal also may be based on an allegation of discrimination. Such an appeal will focus on discrimination based on protected status (see [OHR Policy 1.10](#)). A complaint alleging discrimination is to be presented in writing to the [Office of Institutional Equity](#), with a copy to the executive vice president and provost, within 30 days of the date of the letter from either the TIU head or dean informing the faculty member of the provost's or dean's **(in the case of reappointments without a promotion review)** negative decision. The Office of Institutional Equity shall have the sole discretion for investigating complaints of discrimination. The executive vice president and provost shall take any steps as deemed necessary upon receiving a decision from the Office of Institutional Equity.

During the appeal process, the termination date for the faculty member remains the date provided in the letter informing the faculty member of the negative decision, unless changed by the executive vice president and provost.

## **1.3 Seventh-Year Reviews**

Revised: 07/26/04

In rare instances, a TIU may petition the dean to conduct a Seventh-Year Review for an assistant professor who has been denied promotion and tenure (see [Faculty Rule 3335-6-05\(B\)](#)).

## **2.0 Faculty salary equity appeals process**

Revised: 03/25/04

Funds for salaries are limited and in allocating those funds, decision-makers make choices that benefit some more than others. Decision-makers should strive to ensure that salary levels among individuals are consistent with differences in the factors that appropriately affect salary.

This appeals process is intended to address only salary appeals that are based on the belief of the faculty member (appellant) that their salary is lower than comparable faculty within their academic unit and that the salary disparity cannot be explained by factors that appropriately affect salary levels.

Subject to OAA approval, department, school, college, and regional campus patterns of administration (POA) may contain additional policies pertinent to this process.

## **2.1 Eligibility**

Revised: 03/25/04; 7/15/19



Faculty who meet all of the following criteria may use this process if:

- they are tenure-track, clinical/teaching/practice, or research faculty members; and
- their salary is 5% or more below the average salary of all other faculty of the same rank in their academic unit or in a recognized discipline or subdiscipline with a distinct salary market within their academic unit (TIU for Columbus faculty; regional campus for regional campus faculty).

There must be at least two such faculty of the same rank within the TIU, in addition to the appellant, for these procedures to apply.

Further, faculty members must allege that the salary disparity cannot be accounted for by:

- differences in years of service and years in rank
- productivity in teaching, research/creative activity, and service
- centrality of the person's work to the academic unit
- past/present administrative duties
- market factors
- other factors set forth as legitimate bases for salary determination in the faculty member's academic unit APT document or POA or otherwise consistently communicated and applied in hiring and merit salary increase decisions

Three full academic years must have passed since a final decision was rendered on a faculty member's previous appeal under this process. For example, if a faculty member uses this process during academic year 2020–2021 and a final decision is rendered in that time period, they may not use the process again until the 2024–2025 academic year.

This process is not intended to address all bases of dissatisfaction with salary. Faculty with salary concerns who are not eligible for review under this process may seek information about, and resolution to, their concerns through discussion with the head of their academic unit.

## **2.2 Parties to the appeal process**

Revised: 03/25/04

### **2.2.1 Academic unit head**

Revised: 03/25/04

For purposes of this process, the academic unit head is the head of the TIU, be that a department, school, or college except in the case of regional campus faculty. The academic unit head for regional campus faculty is the regional campus dean/director.

### **2.2.2 Dean or dean/director**

Revised: 03/25/04

For the purposes of this process, the dean or dean/director is the dean of a college or University Libraries, or the dean/director of a regional campus.

### **2.2.3 College faculty salary appeals committee**

Revised: 08/01/07



A faculty salary appeals committee shall be established at the college level (whether or not the college is a TIU). The committee may exist solely for the purpose of reviewing salary appeals under this process or may be an existing committee (*i.e.*, the promotion and tenure committee or college investigation committee).

Because a two-level review process (department and college) is not possible for the nine colleges (including the University Libraries) that serve as TIUs, and the academic unit head and dean are the same person in these units, a slight modification of the faculty salary appeals committee in these units is possible. In these units, the faculty member may select, if they wish, an additional faculty member to serve on the college-level committee. This faculty member must be a full-time tenured faculty member from within the college of the appellant and may not be a member of the comparison group (see Section 2.6 of this chapter).

#### **2.2.4 Regional campus faculty salary appeals committee**

Revised: 06/26/18

The faculty salary appeals committee for the regional campuses shall consist of one faculty member from each regional campus appointed by the dean/director of that campus. Terms of members shall be four years and initially will be staggered. The chair of the committee shall rotate among the campuses in the order of Lima, Mansfield, Marion, and Newark. Reappointment to the committee is possible. Information about the regional campus faculty salary appeals process appears in Appendix B.

#### **2.3 Time frame for appeal**

Revised: 03/01/12

Appeals under these procedures must be initiated no later than September 30 to facilitate completion of the review before salary recommendations are made for the next academic year. Every reasonable effort must be made by the parties to the review process to complete consideration of a salary appeal by mid-April of the academic year.

In the event it is not possible to conclude a review of an appeal in this time frame, the administrator who makes salary recommendations for the appellant will carry out that role as usual. It usually will be necessary to update appeal materials following the annual raise process, given that both academic records and salaries included in the original appeal materials will no longer be current.

#### **2.4 College and regional campus salary appeals policies**

Revised: 03/25/04

A college (whether it has TIUs or not) or regional campus POA may establish college-wide or regional campus policies for the documentation of salary appeals under this process if the college or regional campus wishes to have such policies. College and regional campus salary-appeals policies must be approved by OAA before they are implemented. Colleges and regional campuses may amend these policies as needed subject to approval of OAA.

#### **2.5 TIU salary appeals process**

Revised: 03/25/04

Except where college-wide standards for documentation of appeals are established, individual TIU POAs may establish written policies for the documentation of salary appeals under these procedures if TIUs wish to have such policies. These policies must be approved by the college office and OAA before they can be implemented. Units may amend these policies as needed subject to the required approvals.

#### **2.6 Appellant responsibilities**

Revised: 03/25/04; 07/15/19

The appellant is to provide the recommended documentation for a salary appeal as detailed in Appendix A. Documentation also must be consistent with any TIU and college or regional campus written requirements as well as with the eligibility requirements set forth in Section 2.1 of this chapter.

Unless TIU, college, or regional campus POAs specify otherwise, the comparison group must include all other faculty of the same rank in the TIU (excluding the academic unit head). When a TIU contains distinct and recognized disciplines or subdisciplines that have different salary markets, the comparison group will be limited to all other faculty of the same rank in the appellant's discipline or subdiscipline within the academic unit (excluding the academic unit head).

As noted in Section 2.1 of this chapter, there must be at least two faculty members who meet these requirements for this process to be applicable.

The faculty member may, but is not required to, initially present their documentation to the chair of the college or regional campus faculty salary appeals committee for informal advice as to whether the appeal, as set forth, appears to meet the eligibility and documentation requirements set forth in this document and in any written TIU and college salary appeals documents.

The faculty member may then determine whether to proceed with a salary appeal. The salary appeals committee chair shall not express an opinion as to whether the appeal has merit, given that judgment cannot be made based only on the appellant's perspective.

The faculty member may appeal to the college or regional campus faculty salary appeals committee if the TIU head dismisses the appeal or proposes a resolution that is judged to be unsatisfactory by the faculty member (see Section 2.7 of this chapter).

## **2.7 Academic unit head responsibilities**

Revised: 02/15/13; 07/17/19

On receipt of documentation alleging salary inequity from a faculty member, the TIU head shall review the documentation. The TIU head may request additional information from the faculty member and/or meet with the faculty member as appropriate.

The TIU head may dismiss the appeal or propose a salary adjustment (see Section 2.10 of this chapter for required approvals for salary adjustments). Salary adjustments should not be communicated to the affected faculty member until the required approvals have been obtained.

The TIU head will respond in writing to the appeal and will make every effort to do so within 30 days. The response may provide additional analysis, as deemed necessary, and must provide a rationale for the conclusions. The TIU head will ensure delivery of the final written notice of the disposition of the appeal by also sending an electronic copy to the appellant.

If the academic unit is a TIU within a college, the TIU head will forward to the college office a copy of all written material generated by the appeal for record keeping purposes.

## **2.8 College or regional campus faculty salary appeals committee responsibilities**

Revised: 03/25/04

On receipt of an appeal from a faculty member who is dissatisfied with the TIU head's disposition of that appeal, the college or regional campus faculty salary review committee will review the documentation

submitted by the faculty member and the written conclusions of the academic unit head in light of the unit's salary criteria.

Although the committee may, on occasion, request additional information from either the TIU head or appellant, and/or meet with parties to the complaint, its review should be based primarily on the appellant's documentation and the TIU head's response to that documentation. The committee does not develop new documentation. An inadequately documented appeal should be dismissed.

The college or regional campus faculty salary appeals committee shall make an explanation of its conclusions and provide a recommendation to the dean or dean/director regarding:

- whether a salary adjustment for the appellant is or is not warranted;
- ~~an explanation of its conclusions; and~~
- if an adjustment is warranted, its approximate amount.

The committee's recommendation to the dean or dean/director is advisory.

## **2.9 Dean or dean/director responsibilities**

Revised: 03/25/04; 5/15/20

On receipt of a recommendation from the college or regional campus faculty salary appeals committee, the dean or dean/director will accept, amend, or reject the faculty committee's recommendation. If the dean or dean/director determines that a salary adjustment shall be made, the dean or dean/director shall determine the amount and the timing of that increase (see Section 2.10 of this chapter).

The dean or dean/director will communicate the final decision to the appellant and to the appellant's academic unit head if that person is different from the dean or dean/director. The dean or dean/director also will communicate to the faculty salary appeals committee the final action taken on a complaint and, if the action differs from the faculty committee's recommendation, the reason for that action.

The dean or dean/director will maintain in the college or regional campus office a record of all appeals including those dismissed by the TIU head and not appealed to the college or regional campus faculty committee. Each record should include all written materials developed for and generated by the appeal.

## **2.10 Salary equity adjustments proposed under these procedures**

Revised: 03/25/04

Salary equity adjustments proposed as a result of using these procedures should be funded from annual raise monies available during the annual raise cycle to the extent possible. A proposal to provide an equity salary increase from other academic unit funds, regardless of the proposed timing of the increase, requires the approval of the dean (in colleges with TIUs) and OAA.

## **2.11 Decisions that cannot be appealed**

Revised: 03/25/04

A decision is final under these procedures and cannot be appealed when the TIU head's written conclusions regarding the matter are not appealed to the college or regional campus faculty salary appeals committee within 30 days of the date of the TIU head's letter to the appellant reporting conclusions; when the dean or dean/director accepts a recommendation of the college or regional campus faculty salary committee to dismiss an appeal; or when the dean or dean/director accepts a recommendation of the

college or regional campus faculty salary committee to provide a salary adjustment and offers an adjustment that is at least 75% of the amount recommended by the committee.

## **2.12 Decisions that can be appealed**

Revised: 03/25/04; 07/17/19

If the dean or dean/director dismisses an appeal that was not dismissed by the faculty committee, or proposes a salary adjustment that is less than 75% of the amount recommended by the faculty committee, the appellant may appeal to the executive vice president and provost. The executive vice president and provost or designee will review the matter and render a final decision.

## **3.0 Complaints against ~~tenure-track, clinical/teaching/practice, research, or associated~~ faculty members**

Revised: 08/01/07; 5/15/20; 8/15/21

[Faculty Rule 3335-5-04](#) establishes the procedures for formal complaints against all faculty, including tenure-track, clinical/teaching/practice, research, and associated faculty members. This rule also applies to administrators who hold faculty appointments.

All records of the proceeding, including all documents reviewed by the college investigation committee, are to be forwarded to the executive vice president and provost by the dean.

## APPENDIX A

### Recommended Salary Appeal Documentation

The appellant will need to provide a detailed analysis of their academic record and salary relative to faculty in the comparison group, taking into account years of service, years in rank, and other factors that affect salary as noted in Section 2.1 of this chapter. The TIU head or dean/director (or designee) will assist in accumulating this information.

By February 1, data for the cohort in the areas of scholarship or creative activity, teaching, and service should be presented in a spreadsheet format (side-by-side columns) for easy comparison across the cohort within specific categories. In each table, the appellant is to be identified by name, but only a number (*e.g.*, faculty #1, faculty #2) is to be used to identify other members of the cohort.

Relevant data on scholarship/creative activity are to be presented for all years since the terminal degree, and the standard major categories from the Promotion and Tenure dossier are to be used (*e.g.*, authored books, edited books, refereed journal articles, book chapters). To the extent possible, comparative data on rates of citation should also be presented, excluding self-citations.

Relevant data on teaching are to be presented for the past five years at The Ohio State University, and the standard major categories from the Promotion and Tenure dossier are to be used (*e.g.*, numbers of lower division, upper division, and graduate courses taught, and number of PhD and MA committees on which the faculty member has served). Reduction in teaching loads for those individuals holding administrative or research appointments is to be noted, and individuals who have not served at The Ohio State University for at least five years are to be excluded from this section of the comparative analysis.

Similarly, relevant data on service are to be presented for the past five years at The Ohio State University, and the standard major categories from the Promotion and Tenure dossier are to be used (*e.g.*, TIU or campus committee assignments, TIU or campus administrative assignments, university committee assignments, major community outreach and engagement, and major service to professional organizations). Individuals who have not been Ohio State faculty for at least five years are to be excluded from this section of the analysis, except that data on service to the profession may be included.

Based on these data, the appellant writes a brief statement (250 words) summarizing the research/creative activity, teaching, and service comparisons, highlighting their standing in relation to the cohort. The appellant ends the statement with their requested salary adjustment, based on their place within the cohort.

The appellant forwards the required comparative data and summary statement to the TIU head or dean/director for review. The TIU head or dean/director may request additional information, if needed.

## APPENDIX B

(Final Draft 05.15.2020)

### Regional Campuses Faculty Salary Appeals Process

- 1) The regional campuses review faculty salary appeals in accordance with university policies and procedures as described in the *OAA Policies and Procedures Handbook* (Volume 1, Chapter 3: Appeals, Section 2.0: Faculty salary equity appeals process). The present “Regional Campuses Faculty Salary Appeals Process” document must be read in conjunction with the OAA [\*Policies and Procedures Handbook\*](#).
- 2) All faculty members have the opportunity to discuss salary equity issues with their dean/director during the annual review process. When a faculty member perceives that inequities persist despite such discussions and the faculty member meets the eligibility criteria specified in the OAA *Policies and Procedures Handbook*, the faculty member may initiate an appeal by notifying the campus dean/director. This step must occur no later than September 30 to facilitate completion of the process before salary recommendations are made for the next academic year.
- 3) Once notified, the dean/director works with the head of the appellant’s TIU to determine an appropriate comparison cohort. The cohort will consist of Ohio State faculty holding the same rank as the appellant and matching as closely as possible the appellant’s discipline, years since terminal degree, years of service to the university, and campus affiliation. With the small size of many programs on the regional campuses, the dean/director and head of the appellant’s TIU often will need to approach the cohort-determining process with creativity and flexibility. They may wish to consult with the appellant and other regional deans. Principles for determining the cohort include the following:
  - The cohort must consist of faculty closest to the appellant in number of years since receiving a terminal degree and number of years of service to the university. The appellant should be in the middle of the cohort with plus-or-minus x years since the terminal degree or x years of service, as appropriate. The ideal cohort will be symmetrical and composed of five or six individuals; the minimum size is two individuals. If the appellant requests a particular individual to be included in the cohort, the cohort may be enlarged to include that person if that person is not already part of the comparison cohort. In such a case, the value of x is increased symmetrically to include the specified individual, as well as others who fall within the range of the new x. Current and former deans/directors are excluded; others who have had salary adjustments outside the merit system can be included only when such adjustments are noted and considered.
  - Ideally, the entire cohort should come from the same discipline as the appellant and from the regional campuses (*e.g.*, regional professors in Philosophy). When this is impossible, the field can be conceived more broadly to bring in related disciplines (*e.g.*, regional professors in the humanities) and/or the campus restriction can be loosened to include Columbus faculty in the discipline (*e.g.*, Columbus professors in Philosophy). In considering salary differences in relation to differences in productivity within the cohort, the dean/director will take into account market differences between disciplines and campuses as well as differences in faculty members’ years since terminal degree and years of service.

Once the dean/director notifies the appellant of the names and current salaries of the comparison cohort, the appellant takes over the process and develops the documentation for the appeal.

1. The appellant will need the CVs and the teaching records of the past five years for all members of the cohort. The dean/director (or a designee) will assist with providing CVs and teaching records

from the campus and/or will assist in securing such information from other campuses and TIU's as needed. The appellant has until February 1 to compile the required tables and statement for the appeal.

2. Data for the cohort in the areas of scholarship or creative activity, teaching, and service are to be presented in a spreadsheet format (side-by-side columns) for easy comparison across the cohort within specific categories. In each table, the appellant is to be identified by name, but only a number (*e.g.*, faculty #1, faculty #2) is to be used to identify other members of the cohort.
3. Relevant data on scholarship/creative activity are to be presented for all years since the terminal degree, and the standard major categories from the Promotion and Tenure dossier are to be used (*e.g.*, authored books, edited books, referred journal articles, book chapters). To the extent possible, comparative data on rates of citation should also be presented, excluding self-citations.
4. Relevant data on teaching are to be presented for the past five years at The Ohio State University, and the standard major categories from the Promotion and Tenure dossier are to be used (*e.g.*, numbers of lower division, upper division, and graduate courses taught, and number of Ph.D. and MA committees on which the faculty member has served). Reduction in teaching loads for those individuals holding administrative or research appointments is to be noted, and individuals who have not served at The Ohio State University for at least five years are to be excluded from this section of the comparative analysis.
5. Similarly, relevant data on service are to be presented for the past five years at The Ohio State University; and the standard major categories from the Promotion and Tenure dossier are to be used (*e.g.*, campus committee assignments, campus administrative assignments, university committee assignments, major community outreach and engagement, and major service to professional organizations). Individuals who have not been Ohio State faculty for at least five years are to be excluded from this section of the analysis, except that data on service to the profession may be included.
6. Based on the data, the appellant writes a brief statement summarizing the research/creative activity, teaching, and service comparisons, highlighting the appellant's standing in relation to the cohort. The appellant ends the statement with their requested salary adjustment, based on their place within the cohort.
7. The appellant forwards the required comparative data and summary statement to the dean/director for review. The dean/director may request additional information, if needed. Based on their review, the dean/director determines whether or not the appellant's salary is commensurate with their performance when compared with the cohort. If the dean/director finds that the appellant's salary is incommensurate with performance, the dean/director decides on a salary adjustment. The dean/director may accept or amend the appellant's request. The dean/director communicates their decision to the appellant in writing. This response may provide additional analysis, as deemed necessary, and must provide a rationale for the decision. In general, it is expected that approved salary adjustments will be funded 100% by the campus.
8. The appellant reviews the decision of the dean/director. If the appellant disagrees with the decision of the dean/director, the appeal is sent to the Regional Campus Faculty Salary Appeals Committee. The membership and responsibilities of the Regional Campus Faculty Salary Appeals Committee are stipulated in the *OAA Policies and Procedures Handbook* sections 2.2.4 and 2.8. A committee member may not serve on the committee for a particular appeal if a personal or professional relationship with the appellant makes impartial evaluation impossible.



9. The dean/director's responsibilities for responding to the committee's recommendation are specified in the OAA *Policies and Procedures Handbook* section 2.8. All subsequent steps in the review process are specified in the university appeals process (see OAA *Policies and Procedures Handbook* sections 2.11 and 2.12).



## Office of Academic Affairs

### Policies and Procedures Handbook: Volume 1

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## **1.0 Regional Campus Advisory Boards**

Revised: 02/15/13

### **1.1 Composition and Administration**

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

A regional campus board has been established for each of the university's regional campuses located in Lima, Mansfield, Marion, and Newark. Composition and administration of the regional campus boards shall be as follows:

- (1) Each of these boards shall be composed of ten members appointed by the executive vice president and provost ("the provost") in consultation with the dean/director of each regional campus.
- (2) Nine members of each board shall be private citizens. One member of each board shall be a student who is currently enrolled and in good standing on their campus.
- (3) Citizen members shall be appointed for terms of three years. Terms will be staggered so that three terms end each year. If a vacancy develops, the provost may appoint a citizen member to fill the remaining part of the unexpired term. No citizen member shall serve more than three terms, consecutive or otherwise. (In determining eligibility for reappointment, an initial appointment of two years or more shall be construed as a term.)
- (4) The student member shall serve a term of one year, and is eligible for reappointment as long as they remain a student in good standing on their campus.
- (5) Terms of the appointed members shall begin on July first.
- (6) Board members shall serve without compensation but may be reimbursed for expenses incurred in the performance of their duties. Board members shall be provided immunities or indemnification against any claims or liabilities which may arise from the performance of their duties to the full extent permitted by law.
- (7) The dean/director of each campus, in collaboration with the provost, shall establish campus priorities. The chair of each board shall advise the dean/director in establishing board agendas that promote these priorities. Reasonable staff services and other assistance as may be required by a board will be provided by the dean/director. The dean/director may attend all meetings of the board.
- (8) The provost or the provost's designee, in cooperation with the deans/directors, shall serve as the liaison between the regional campus boards and the various colleges, TIUs, and offices of the university, and may attend all meetings of these boards.
- (9) The chairs of the Lima, Mansfield, Marion, and Newark campus faculty assemblies shall serve as resource persons to their campus's board and, in order to serve that function, may attend all public meetings of the board.

### **1.2 Nominations and Appointments**

Revised: 02/15/13

Nominations for and appointments to regional campus boards shall proceed as follows, with the goal of continually ensuring a strong, independent group of dedicated members of diverse backgrounds who represent a range of professions and experiences.

- (1) All members of the regional campus boards are appointed by the provost, in consultation with the dean/director of each campus.
- (2) The deans/directors will consult with their boards in determining nominees.
- (3) The following criteria shall guide the nominations of community members:
  - (a) They are well acquainted with their respective campus and its region; with the other regional campuses; and with The Ohio State University as a whole;
  - (b) They have a record of community service;
  - (c) Consideration should be given to nominating individuals with diverse professional expertise and perspectives; and
  - (d) Employees of the university and their immediate family members, employees of the co-located technical college and their immediate family members, and members of the board of the co-located technical college are ineligible to serve as citizen members.
- (4) Student members should be in good standing on their respective campuses, with an active interest in improving the campus and The Ohio State University in general, and must be willing to inform themselves about the needs, interests, and concerns of other students. However, in their capacity as board members, the student member's role is as that of any other board member—to balance the needs and issues of all constituencies in their deliberations, not to represent a single constituency.
- (5) Deans/directors will communicate their nominations to the provost no later than the Tuesday following Memorial Day of each year.
- (6) Vacancies shall be filled by the provost in the same manner and subject to the same qualifications as appointments for full terms.
- (7) Members of the regional campus boards serve at the pleasure of the provost.

### **1.3 Responsibilities**

Revised: 02/15/13

The regional campus boards shall serve in an advisory capacity to the dean/director of their respective campuses. Each board shall:

- (1) Assist in maintaining key relationships with external constituencies by:
  - (a) Developing support for its campus;
  - (b) Being knowledgeable about The Ohio State University, in general, and, in particular, about the campus served by the board;
  - (c) When appropriate, serving as a knowledgeable and effective advocate for its campus and for The Ohio State University with the state legislature and state and local agencies;

(d) Ensuring effective coordination with the board of the co-located technical college in all areas of common interest; and

(e) Ensuring effective coordination with the Columbus campus through service by appointed board members on appropriate Columbus-based councils and committees.

(2) Offer advice and guidance, as appropriate, about its campus's strategic plan, campus plan, student life plan, safety and security plans, etc. The regional campus boards shall have no jurisdiction with respect to faculty. The hiring, evaluation, promotion, tenure status, duties and responsibilities, and compensation of faculty shall be conducted in accordance with established university rules.

(3) The deans/directors of the regional campuses may at their discretion seek the advice of their respective boards on such matters as annual budgets, capital projects, tuition and fees proposals, etc.

#### **1.4 Meetings**

Revised: 02/15/13

Regular meetings of the regional campus boards shall be held on such schedule as may be established by these boards in consultation with the dean/director at times that shall be set and publicly announced.

(1) Special meetings may be called at the direction of a board chair, in consultation with the dean/director, or may, in consultation with the dean/director, be called by a chair at the request of three members of their board. In such cases, notice to all members of that board shall be given not less than five days prior to the meeting and publicly announced.

(2) Non-binding recommendations to the dean/director may be passed by a majority of the voting members present.

#### **1.5 Conflict of Interest**

Revised: 02/15/13

No regional campus board member shall participate in deliberations on a university contract, action, or transaction when the board member has a financial or personal or fiduciary interest in any person or entity affected by such contract, action, or transaction. The board member having the prohibited interest shall make full disclosure thereof and shall abstain from any deliberations on any such matter. Board members shall provide the provost on or about August first of each year with a full disclosure of any financial or fiduciary interest the board member, a member of the board member's family, or any business associate of the board member may have in any service provider who may be qualified to do business with the university.

#### **1.6 Officers**

Revised: 02/15/13

Officers of regional campus boards shall be as follows:

(1) The executive committees of the regional campus boards shall consist of a chair, vice chair, and a recording secretary of each board. These officers shall be elected annually by their respective board on a schedule to be determined by that board. No officer may serve more than two consecutive, one-year terms in the same office.

(2) The chair shall preside at all meetings of their board, shall appoint members of any committees created by the board, shall serve as an *ex officio* member of all standing and special committees, and shall approve the agenda for all board meetings.

(3) The vice chair shall perform the duties and exercise the powers of the chair during the absence of the chair or in the event of the chair's inability to act.

(4) The recording secretary shall be responsible for ensuring that minutes of board meetings are produced and maintained; for ensuring that board members are kept informed about board activities and campus issues; for ensuring that correspondence of the board is properly conducted; and for posting board minutes to a designated location on their campus's website in a timely fashion.

## **1.7 Committees**

Revised: 02/15/13; 5/15/20

Committees of regional campus boards may form and operate as follows:

(1) In consultation with their respective deans/directors, the regional campus boards shall establish such committees, both standing and *ad hoc*, as needed to inform their advice and recommendations to the deans/directors.

(2) The charge and composition of the regional campus board committees shall be determined by the board chairs in consultation with their respective dean/director.

(3) The work of the regional campus board committees shall be facilitated by such offices on the Columbus campus as student life, student academic success, diversity and inclusion, business and finance, and other units as may be appropriate to a committee's charge. The provost or the provost's designee will assure the regular and ongoing contact of the regional campus board committees and these offices and units on the Columbus campus.

(4) The regional campus board committees shall also work with individuals and entities, as appropriate, at the technical school co-located on their campus to ensure the continuing collaboration and mutual benefit of both institutions.

## **2.0 Faculty Fellow Program**

Revised: 02/15/13

### **2.1 Purpose**

Revised: 02/15/13; 5/15/20

This program enables OAA to obtain the services of an associate professor or professor for an in-depth, time-limited administrative project, releasing them from 20% or more of their regular duties. The program also is designed to provide a leadership development opportunity for senior faculty.

### **2.2 Compensation**

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

A faculty fellow appointment does not entail additional compensation. OAA will transfer funds to the fellow's home unit to cover the fellow's compensation in proportion to the percent FTE that OAA is obtaining for the fellow's time.

Compensation can include summer funding for faculty who are on 9-month appointments.

### **2.3 Appointment Process**

Revised: 02/15/13

The provost must approve any proposal for a project to be undertaken by a fellow. Once the proposal is approved, OAA will call for nominations, including self-nominations, through an electronic message sent to faculty, chairs, and deans. The provost will appoint a screening committee to review applications and make a recommendation about an appointment. Applicants may be requested to provide recommendation letters.

### **2.4 Carole A. Anderson Fellow**

Revised: 02/15/13

In selecting the Carole A. Anderson Fellow (Named in honor of Carole A. Anderson, professor emerita of Nursing, retired July 31, 2011), the screening committee may consider participation in a leadership development program or significant university service as a factor in making a recommendation. There generally will be only one Anderson fellow appointed at any given time.

### **3.0 Dual career hiring cost-sharing fund**

Revised: 12/18/13; 7/15/19; 8/15/21

As part of its commitment to the recruitment and retention of a diverse and world-class faculty, OAA has established a hiring fund to help support dual career academic appointments. This fund provides three years of partial salary support for opportunity hires in which a potential or current tenure-track, clinical/teaching/practice, or research faculty member has a spouse or partner who also is interested in an academic appointment. In such cases, the chair or dean of the hiring unit will identify ~~the appropriate a possible~~ unit for the opportunity hire and establish ~~in collaboration with the possible receiving unit~~ whether the potential candidate would be an appropriate fit for and meet the appointment criteria in that unit.

If there is interest on the part of that unit, it will determine the appropriate type of appointment and consult with its faculty in accordance with its own unit guidelines. Once there is an agreement to offer an appointment, OAA will provide one-third of the initial salary, on a cash basis, for a period of up to three years. This cost-sharing is contingent on the availability of funds, which are reviewed on an annual basis. The remaining salary and all of the benefits will be split between the hiring units, or in the case of a dual career couple being hired into the same unit, assumed by that unit. The unit making the initial hire is responsible for initiating a Memorandum of Understanding that outlines how the funding will be split and administered. The OAA dual career hiring fund applies to any faculty or postdoctoral position. The units can be within a single college, as well as across colleges. Colleges should **submit** requests for cost-sharing from this fund using OAA [form 210](#) **via DocuSign to the vice provost for academic policy and faculty resources**. Allocations to this fund are made annually and disbursements are subject to the availability of funds at the time of the request.

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

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

#### 4.0 Special opportunity hire fund

Revised: 03/01/15; 6/18/19

The Special Opportunity Hire (SOH) Fund is designed to provide incentives to and reward units for successfully recruiting and retaining faculty members who will contribute to diversity and equal opportunity within their unit and, in turn, the university as a whole.

Units receiving the funds will be expected to assist in this assessment by providing annual reports on the retention of faculty supported through the program and participating in discussions of best practices for their ongoing mentoring and support.

The fund will provide bridge funding, in cash, to help defray the cost of salary support for SOH. These hires will emerge from:

- 1) A targeted search for a faculty member who provides a unit a quality it is lacking, either in experience or expertise, and also possesses attributes that will contribute to the unit's diversity initiatives; or
- 2) A national search where one of several strong candidates bring attributes to the unit that will contribute to the unit's diversity initiatives.

In either case, the unit must document its longer-term plans for sustaining the SOH (*e.g.* in light of enrollment trends, research support, clinical needs, and so on).

Associated faculty are not eligible for this program. This program is separate from the university's ongoing efforts to support the internationalization of its students and faculty. For this reason, it is expected that candidates will contribute to domestic diversity initiatives.

OAA will provide cash funding for three years. The funds are available only for the general funds portion of the salary (faculty component of salary in College of Medicine). These funds are available to all of the colleges, University Libraries, and the regional campuses. Units may choose among three funding packages, all equivalent to a year of salary support, excluding benefits:

- 75% of the salary in the 1<sup>st</sup> year and 25% in the 2<sup>nd</sup> year
- 50% of the salary in the 1<sup>st</sup> and 2<sup>nd</sup> years
- 33% of the salary over each of 3 years

Requests for these funds will be accepted on a rolling basis during the academic year and awarded on a first-come, first-served basis until the funds are depleted. Approval is not automatic and will be based on consideration of the information requested on form 209 (see below) as well as on OAA's assessment of how best to support campus-wide diversity initiatives and needs. Units submitting more than one request at the same time should submit them in ranked order. In cases where the candidate receiving SOH funding also has a partner being offered a faculty appointment, the partner hire is still eligible for cost-sharing through OAA's dual-career hiring fund.

Colleges are to submit requests for cost-sharing from this fund using OAA [form 209](#) along with a copy of the candidate's CV via DocuSign to the vice provost for academic policy and faculty resources. The financial plan must contain analysis through enrollment trends or other data showing that the unit has sufficient teaching, research, and/or clinical work to support this position going forward. The explanation of how the candidate would contribute to the mission of the unit and enhance the unit's diversity initiatives must refer to goals in the college's strategic plan.

## 5.0 Emergency loan fund for new faculty

Revised: 10/18/11; 5/15/20; 8/15/21

The Ohio State University Emergency Loan Fund for New Faculty is available upon request to assist newly appointed ~~full-time tenure-track, clinical/teaching/practice, and research~~ faculty during their first semester on campus in meeting expenses associated with their transition to Ohio State. Although these resources are limited, the university attempts to make emergency loans readily available to ease the financial burden of relocating until first paychecks are received and local credit can be established. Each new faculty member is eligible to borrow up to \$1,500. [The application form is available here.](#) The program is administered through the Office of the University Bursar. This revolving fund is available on a first-come, first-served basis. New loans are awarded as previous recipients repay their loans. The loan is interest free.

Because this is a revolving fund, individuals are required to repay the loan through the Office of the University Bursar by credit card, direct withdrawal from their bank account, or check. There will be a payment of \$300 each month beginning in January and continuing until May for a total of 5 months (time-frame adjusted for January hires). Faculty receiving loans will be required to complete a promissory note with the Office of the University Bursar and a data sheet with personal information as well as two personal references. Faculty requesting a loan must complete an application and obtain the appropriate signatures in their college and forward to [via DocuSign to the vice provost for academic policy and faculty resources](#). Normal processing of the application should result in the check being mailed to the faculty member's home address within 5–7 business days upon receipt of the completed application in OAA.



## OFFICE OF ACADEMIC AFFAIRS

### Policies and Procedures Handbook: Volume 3

#### Promotion and Tenure Review

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## 1.0 Timetable

Revised: 05/05/16

All colleges are encouraged to deliver dossiers to the Office of Academic Affairs (OAA) as soon as college-level review, including the comments process, is complete, regardless of due date.

The dates below are the latest time at which dossiers can be delivered for each group of colleges. When the deadline cannot be met for individual cases, [Bobbie Houser](#), OAA's HR Business Partner, is to be informed of the status of the case and its anticipated delivery date.

### **Second Friday in January**

These eight colleges without departments and the University Libraries must submit all Fourth-Year Reviews and any annual reviews with a non-renewal recommendation by the dean by the second Friday in January in addition to their promotion and tenure (P&T) cases.

Dentistry  
Law  
Nursing  
Optometry  
Pharmacy  
Public Affairs  
Public Health  
Social Work  
University Libraries

### **Fourth Friday in January**

Arts and Sciences

### **Second Friday in February**

Business  
Education and Human Ecology  
Engineering  
Food, Agricultural, and Environmental Sciences

### **Fourth Friday in February**

Medicine  
Veterinary Medicine

If the deadline falls on a university holiday, the dossiers are due the following business day.

## 2.0 Submission to Academic Affairs

Revised: 06/10/15, 8/15/21

Colleges submit all promotion and tenure dossiers to OAA via [OneDrive](#). The college office will notify OAA when all dossiers have been uploaded.

## 2.1 Placement of materials

Revised: 06/10/15

### 2.1.1 Cover sheet

Revised: 06/10/15

The original signed Record of Review for Promotion in Academic Rank/Tenure/Reappointment (Cover Sheet, Form 109), found on the [forms page](#) of the *Policies and Procedures Handbook* is placed first in the original dossier. Nothing is to be placed on top of this page. The Cover Sheet should be immediately visible when the dossier is opened.

### **2.1.2 Dossier checklist**

Revised: 06/10/15

The original signed checklist ([Form 105](#)) is placed directly behind the Record of Review.

### **2.1.3 P&T Reviews section of the TIU's APT Document**

Revised: 06/10/15

Include a complete copy of the APT Document that was used for a particular review only if it is not the same one that appears on the [OAA website](#).

### **2.1.4 Presentation**

Revised: 06/10/15; 5/15/20

Scan the dossier as a single-sided document.

Use colored sheets of paper between the main sections of the dossier. These can be found [here](#).

Follow the required naming format: *College Code-Department Name-Last Name, First Name.pdf*. This aids in storing and sorting files, and in finding archived copies. For example:

ASC-Economics-Smith, Jacqueline.pdf

DEN-James, Edward.pdf

College Codes:

Arts and Sciences	ASC
Business	BUS
Dentistry	DEN
Education and Human Ecology	EHE
Engineering	ENG
Food, Agricultural, and Environmental Sciences	FAE
Law	LAW
Medicine	MED
Nursing	NUR
Optometry	OPT
Pharmacy	PHA
Public Affairs	PAF
Public Health	PHE
Social Work	SWK
University Libraries	LIB
Veterinary Medicine	VET

### **2.1.5 Report on Candidates Considered**

Revised: 06/26/18, 8/15/21

Complete one Report on Candidates Considered for Promotion/Tenure/Reappointment ([Form 110](#)) for each TIU.

List all candidates within the unit on the report for that unit—one report per TIU, not one report per candidate.

Indicate for each candidate the voting recommendation (Y or N, not X) at each level of review including the regional campus review when appropriate.

Save a copy of this report in the college's folder in [OneDrive](#).

If a faculty member withdraws from a review at any stage, this report should so indicate.

If 4<sup>th</sup> year reviews are completed at a later date than promotion and tenure reviews, a second form is to be sent with completed 4<sup>th</sup> year review information.

### **3.0 General considerations**

Revised: 05/01/08; 6/21/18

#### **3.1 Public Records Act**

Revised: 04/01/07

The [Ohio Public Records Act](#) (see also OAA Policies and Procedures Handbook Volume 1, Chapter 2, Section 12.0) requires that public records be made available upon request. Documents generated for P&T reviews are public records. Candidates and others may request access to these documents and units must provide them. Evaluators may be informed that candidates have asked to view evaluation letters.

#### **3.2 Residency status**

Revised: 04/01/07, 8/15/21

The university may only award tenure to faculty members who are: (1) U.S. citizens or nationals; (2) permanent residents ("green card" holders); (3) asylees or refugees; or (4) individuals otherwise described as "protected individuals" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b).

#### **3.3 Academic rights and freedoms**

Revised: 02/15/13, 8/15/21

In June 2005 a statement on academic freedom and intellectual diversity on American campuses was released by the American Council on Education (ACE), [the major coordinating body for the nation's higher education institutions](#), of which The Ohio State University is a member. The ACE statement includes the following principles:

- Academic freedom and intellectual pluralism are core principles of America's higher education system.
- Government's recognition and respect for independence of colleges and universities are essential for academic excellence.
- Colleges and universities should welcome diverse beliefs and the free exchange of ideas.
- Grades and other academic decisions should be based solely on considerations that are intellectually relevant to the subject matter.
- Neither students nor faculty should be disadvantaged or evaluated on the basis of their political opinions.

- Any member of the campus community who believes they have been treated unfairly on academic matters must have access to a clear institutional process to address grievances.

Ohio's Inter-University Council (IUC), a statewide consortium of public universities, endorsed these principles in October 2005 and passed a resolution recommending that all four-year public universities in Ohio communicate these principles to their campus communities.

In April 2006, Ohio State issued its [reaffirmation](#) of academic rights, responsibilities, and processes for addressing concerns.

### **3.4 University level review committee**

Revised: 02/15/13; 6/18/19

The Provost's Promotion and Tenure Advisory Committee is appointed during the summer. The committee consists of nine faculty members from different colleges or University Libraries. Faculty members serve a three-year term with a third of the committee cycling off in a typical year. The vice provost for academic policy and faculty resources serves as the non-voting convener of the committee.

#### **3.4.1 Procedures**

Revised: 05/05/16

The Provost's Promotion and Tenure Advisory Committee reviews cases when:

- there is concern regarding the appropriateness of lower level recommendations
- there are unclear or inconsistent recommendations from the previous levels of review
- all previous recommendations are negative
- the candidates are from colleges without [departments](#) and the University Libraries

The committee deliberates on each case and votes by secret ballot on a recommendation to the executive vice president and provost. The voting options are:

- Strongly recommend approval of proposed action
- Weakly recommend approval of proposed action
- Weakly recommend disapproval of proposed action
- Strongly recommend disapproval of proposed action

The vice provost for academic policy and faculty resources prepares a written report of the committee's assessment and vote for inclusion in the dossier.

### **3.5 Procedures for tenure-track faculty**

Revised: 04/01/07

Most review procedures are covered by the APT documents of the TIU and college.

#### **3.5.1 Verifying residency status**

Revised: 04/01/07, 8/15/21

Faculty members who are not (1) U.S. citizens or nationals; (2) permanent residents ("green card" holders); or who are (3) asylees or refugees; or (4) individuals otherwise described as "protected individuals" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b) may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until the status is established. Faculty members not eligible for tenure due to lack of status as a "protected individual" under the immigration laws are moreover not considered for promotion. It is the responsibility of the faculty member's TIU to seek residency status for that faculty member.

In the case of a mandatory review, a faculty member who is neither a U.S. citizen nor a permanent resident may be promoted to Associate Professor without Tenure, which provides a four year probationary contract. If residency is not finalized prior to the end of the 4-year contract, the faculty member may be granted “Visiting Professor” status. TIU’s will have a maximum of three years to obtain permanent resident status for such visiting professors or their employment will be terminated.

### **3.5.2 APT Document used for promotion and tenure reviews**

Revised: 06/26/18; 07/17/19

All tenure-track faculty members undergoing Fourth-Year Review and mandatory or non-mandatory promotion and/or tenure reviews will be reviewed using the unit’s current APT document (as approved and posted on the OAA website). Faculty members, however, may choose to be reviewed under The Ohio State University document that was in effect on their start date or on the date of their last promotion, whichever is more recent.

The current document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year.

All clinical/teaching/practice faculty undergoing review for promotion will be reviewed using the unit’s current APT document (as approved and posted on the OAA website). Clinical/teaching/practice faculty members, however, may choose to be reviewed for promotion under The Ohio State University document that was in effect on their start date or on the date of their last reappointment, whichever is more recent.

A faculty member who chooses to use an earlier document shall notify their TIU head of this intent by submitting the APT document that was in effect on their start date or on the date of last promotion when submitting their dossier and other materials for review. The deadline for doing so will be the unit’s regular deadline for receiving the dossier and other materials for the review in question.

Note, regardless of document elected, the current review procedure will be used.

### **3.5.3 Procedures Oversight Designee**

Revised: 12/18/13, 8/15/21

TIU: The committee of the eligible faculty selects **a-one or more** members of the committee as Procedures Oversight Designee (POD). The POD(s) should not be the chair of the committee of the eligible faculty. The committee may select to have multiple PODs (e.g., one for each faculty member being reviewed).

College: The members of the college P&T committee select one **or more** of its members as the POD. The POD(s) should not be the chair of the **college** P&T committee. The college P&T committee may elect to have multiple PODs (e.g., one for each faculty member being reviewed).

Although **the POD** is assigned oversight responsibility, all members of review bodies must accept personal responsibility for assuring that reviews are procedurally correct, fair, and free of bias for all faculty members. Review bodies, not the POD(s), are ultimately responsible for the integrity of the review process.

A summary of duties for the POD is available [here](#).

### **3.5.4 Integrity of review procedures**

Revised: 12/18/13



The POD is to make reasonable efforts to assure that the review body at the relevant level (TIU or college) follows the written procedures governing its reviews and that its proceedings are carried out in a highly professional manner. The written procedures are to be taken from the current approved TIU APT document. As noted in section 3.5.2 above, the current approved document of record will be the one posted on the [OAA website](#). The POD is to monitor the review process in respect to equitable treatment for women and minority candidates, including assuring that the proceedings are free of inappropriate comments or assumptions about members of underrepresented groups that could bias their review.

If the POD has concerns about a review, these concerns are to be brought to the attention of the person or review body generating the concerns. For example, if a dossier is not prepared correctly, the POD is to ask the candidate who prepared the dossier to make needed changes. If appropriate procedures are not being followed by either faculty or staff, then those individuals are to be promptly informed of the problem.

If concerns cannot be resolved to the satisfaction of the POD, then they are to be brought to the attention of the relevant administrator (TIU head or dean, depending on the level of review). The administrator must review the matter and respond in writing to the POD regarding either the actions taken or the reasons that action was judged to be unwarranted.

### **3.5.5 Voting procedures**

Revised: 07/14/17; 07/20/17; 06/26/18, 8/15/21

Only “yes” and “no” are to be considered votes. Consistent with Robert’s Rules of Order, OAA does not consider abstentions to be votes and they may not be counted in determining whether the unit’s recommendation on a case will be positive or negative. Only committee of the eligible faculty members present at the meeting or participating in the meeting by teleconference or videoconference may vote.

The POD is to verify the number of members needed to constitute a quorum and the percentage of votes needed to recommend a positive decision as defined in the APT document. OAA recommends that departments require a quorum of two-thirds for action on P&T cases (see Volume 1, Chapter 1, Section 2.2.3). Faculty on approved leave are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave.

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

The eligible faculty committee chair writes a letter to the TIU head reporting the vote and summarizing the discussion of the eligible faculty. This letter should be evaluative as well as descriptive and contextualize the vote, including any “minority opinions” as appropriate.

### **3.5.6 Documentation**

Revised: 04/01/07; 5/15/20

The university requires complete documentation of the faculty member’s teaching, research, and service (unless one of these is not an expectation of the position) to conduct an informed review.

TIUs are not to start formal consideration of a case until the dossier and associated documentation (such as external evaluations) meet all requirements. Errors in documentation found at a later stage of review often require correction and a relaunch of the review. This should be documented on pages 1 to 3 of [Form 105](#) before the committee of eligible faculty begins its formal review.

### **3.5.7.1 Non-mandatory reviews**

Revised: 04/01/07

External evaluations should not be sought before determining the availability of all documentation required by the dossier outline along with any supplemental documentation required by the TIU and college. A promotion review must be postponed until a future academic year if:

- The candidate has failed to obtain or retain student evaluations for all courses taught in the past five years or since hire, if less than five years ago.
- The TIU has not conducted peer evaluation of teaching as required by the unit's APT document.

### **3.5.7.2 Mandatory reviews**

Revised: 12/18/13; 5/15/20

Although substantive missing documentation is grounds for a negative decision, mandatory reviews must proceed even when documentation is missing and unobtainable. In general, the dossier will be reviewed at all levels with only the documentation available at the start of the TIU's review process. If important new information becomes available after the TIU review process, see section 3.8.2: Significant new information, below.

For more information on external evaluations see Section 3.6: External evaluations, below.

### **3.5.7.3 Review schedule for mid-academic year start dates for probationary tenure-track, clinical/teaching/practice, and research faculty**

Revised: 06/26/18; 6/18/19

All faculty starting within the same calendar year are in the same cohort for promotion and tenure reviews. For example, anyone starting in 2021 is in the 2021–2022 cohort and will come up for mandatory review in 2026–27.

### **3.5.8 Verification of citations**

Revised: 04/01/07; 5/15/20

One of the responsibilities of the POD at the TIU level is to verify the accuracy of all citations listed in the dossier. This verification is one of the items on the Dossier Checklist. If someone other than the POD carries out this responsibility, that individual must be clearly identified on the checklist. The candidate may not verify the accuracy of citations.

## **3.6 External evaluations**

Revised: 12/18/13; 07/20/17; 6/18/19; 5/15/20, 8/15/21

The TIU head, chair of the committee of the eligible faculty, or equivalent individual as stated in the TIU's APT document, is responsible for requesting the external letters of evaluation.

External evaluation letters must be submitted on institutional letterhead and carry the evaluator's signature. PDFs submitted electronically are acceptable if they are on letterhead and signed.

Candidates are not to contact prospective or actual external evaluators regarding their case at any stage of the review process, nor are they to discuss their case with any evaluator or provide additional materials to any evaluator even if the evaluator initiates the contact. Such contact compromises the integrity of the review process. Soliciting external evaluators and providing materials to them is solely the responsibility

of the TIU head, chair of the committee of the eligible faculty, or equivalent individual as provided in the TIU's APT document.

[Faculty Rule 3335-6-04\(B\)\(3\)](#) requires that no more than one-half of the external evaluation letters in the dossier may be from persons suggested by the candidate. More letters are to be solicited from persons not suggested by the candidate than from persons suggested by the candidate. So as not to exhaust the pool of potential evaluators, it is best that the number of evaluators suggested by the candidate be limited to three or four.

Except under the special circumstances described below, OAA requires a minimum of five external evaluation letters.

It is the unit's obligation to obtain the required number of evaluations and to begin the process of obtaining these letters well in advance of the review. In the event that a unit is unable to obtain the required five external evaluations, the unit must document its efforts, noting the individuals who were contacted, how they were contacted, and the dates and number of times they were contacted. The unit is to notify the college and OAA as soon as it becomes apparent that it will not be able to obtain the required letters in time for the meeting of the eligible faculty. The lack of five external letters will not stop a mandatory review from proceeding, but will halt a non-mandatory review from proceeding unless the candidate, chair of the committee of eligible faculty, and the TIU head all agree in writing that it may proceed and agree that it will not constitute a procedural error.

All letters solicited and received must be included in the dossier unless OAA approves their removal from the review process.

To assure meaningful and credible external evaluations while meeting the above requirement, the following suggestions are offered.

- Letters from external evaluators should assess the work of the candidate under review. As the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In the case of such faculty members, requests to external evaluators should be clear in the focus of the evaluation they are seeking, and committees are encouraged to share with evaluators the section of the APT document describing the TIU's promotion criteria.
- The TIU head and/or P&T committee should generate a lengthy list of prospective evaluators who are not employed at The Ohio State University. These should be distinguished faculty (or occasionally non-academics who have similar research, leadership, teaching, or service credentials and experience) who are in a position to comment in an informed way both on the quality of the candidate's scholarly, leadership, teaching, or service work and on its significance to the broader field in which it resides. External evaluators must be able to provide an objective evaluation of the scholarly, leadership, teaching, or service work. They should generally hold the rank of professor or must be at the rank above the candidate being considered unless an exception has been granted by the college (or OAA in the cases of colleges that are TIUs). They may not be former advisors, collaborators, post-doctoral supervisors, close personal friends, or others having a relationship with the candidate that could reduce objectivity. It is therefore essential that the individual or body generating the list of prospective evaluators ascertain the relationship of prospective evaluators with the candidate before seeking a letter of evaluation.
- Letters from collaborators may be appropriate as a means of determining a candidate's contributions to jointly conducted work, but collaborators must not be asked to write an external

evaluation. The candidate should be asked to review the full list of potential external evaluators, to identify all who have been collaborators, and to describe the nature and timing of the collaboration. Letters from collaborators may be included in the “Other Letters” section.

- The candidate should be shown the list to identify any conflicts of interest or other issues that would interfere with the objectivity of the reviews, and be invited to augment it with several names of persons who meet the criteria for objective, credible evaluators. Unless the persons so identified do not meet these criteria and the candidate cannot offer acceptable alternatives, the TIU should make every reasonable effort to obtain at least one letter from a person suggested by the candidate. OAA does not require that the dossier contain letters from persons suggested by the candidate.
- The TIU head (or dean) may seek the dean’s (or OAA’s) approval of each candidate’s tentative list of prospective evaluators to minimize the risk that the selection of evaluators will subsequently be judged inappropriate. If such approval is sought, the dean (or OAA) must be provided complete and accurate information about the prospective evaluator’s credentials and relationship with the candidate.
- Approximately three months before completed evaluations are due, the person designated by the TIU to solicit external evaluations should send out letters of invitation to the prospective evaluators. The letter of invitation should state expectations, due date for receipt of the completed evaluation, and that evaluations are public records and subject to release upon request the realities of the Public Records Act (see OAA Policies and Procedures Handbook Volume 1, Chapter 2, Section 12.0). See [Letter 201](#) in the *OAA Policies and Procedures Handbook* for sample letters to external evaluators.
- ~~Evaluators who accept the invitation should then be sent the appropriate materials.~~ All evaluators are to be sent the same appropriate materials unless there is a substantive reason for differentiating among evaluators. In a case in which evaluators are sent different materials, the TIU head or chair of the P&T committee or committee of eligible faculty must provide an explanation to be included in the dossier. When evaluators are sent different materials (different research papers), TIUs must take care to assure that sufficient letters are obtained regarding the different sets of papers to provide a meaningful body of evaluative information about each set.
- The likelihood of obtaining a useful letter is greatly increased when the evaluator is not only given adequate time in which to review the materials, but when the nature of the requested letter is carefully explained. Evaluators should generally be asked to provide only a critical analysis of the candidate’s scholarly work primary area of focus (at least partly on the basis of provided materials). Evaluators should specifically be asked not to comment on whether the candidate should be promoted and tenured at Ohio State or would be promoted and tenured at their own institution.
- ~~In the case of an alternative pathway, committees are encouraged to share the section of the APT document describing the pathway with the external evaluator. Additionally, the information shared should be relevant to the pathway under consideration.~~

### 3.7 Comments process and informing candidate of review outcomes

Revised: 04/01/07

#### 3.7.1 Tenure initiating unit level

Revised: 04/01/07

After the letter from the TIU deliberative body to the TIU head and the letter from the TIU head to the dean are completed, the TIU head must immediately inform the candidate in writing of the following:

- Nature of the recommendations by the TIU deliberative body and by the TIU head.
- Availability of the TIU deliberative body's letter to the TIU head and the TIU head's letter to the dean if the candidate wishes to review them.
- Opportunity for the candidate, for up to 10 calendar days from receipt of the written notice, to provide written comments on the above letters for inclusion in the dossier when the case is forwarded to the college. If the last day of a designated time period falls on a weekend or a day on which the university is closed, the time period shall expire at the close of business on the next succeeding business day.
- Opportunity for the TIU deliberative body and the TIU head to provide written comments on the candidate's comments, also for inclusion in the dossier when the case is forwarded to the college.
- Outline of the remaining steps in the review process (review at the college and university levels of the recommendations originating in the TIU, and, ultimately, approval by the president and the BOT of positive recommendations by the executive vice president and provost).

It is desirable for the TIU deliberative body and/or TIU head to respond in writing to comments by the candidate alleging procedural problems that might reasonably have affected the review's outcome.

### **3.7.2 College level**

Revised: 05/01/10

After the college P&T committee completes the letter to the dean and the dean completes the letter to the executive vice president and provost, the dean informs the candidate and the TIU head of the completion of the college level review and of the availability of these reports. The comments process is repeated exactly as described above.

### **3.7.3 Use of the comments process**

Revised: 12/18/13

Candidates are advised to use this process to amend, correct, or otherwise comment on factual information or procedural matters. Comments are not appeals but rather an opportunity to further clarify or correct the record. Candidates should understand that the exercise of professional judgment on the part of reviewers is central to the review process.

It is recommended that the TIU deliberative body and/or TIU head respond in writing to comments by the candidate alleging procedural problems that might reasonably have affected the review's outcome or to address other substantive issues raised by the candidate. Any response to the candidate is to be included in the dossier.

### **3.7.4 University level and Board of Trustees (BOT) approval**

Revised: 05/01/10, 8/15/21

After the executive vice president and provost has made their decision, they will inform the dean, who will inform the TIU head. The TIU head will inform the candidate of the executive vice president and provost's decision. ~~This process of notification is repeated when the BOT takes action on promotion and tenure recommendations.~~

When a promotion and tenure decision is negative or a probationary faculty's appointment is not renewed, the TIU head also is to advise the candidate of their right to appeal and also of their final date of employment. ~~under the seven-year rule (if applicable).~~

### **3.8 Reconsideration of case during review process**

Revised: 04/01/07

It may occasionally be appropriate, while a review is in process, for one or more parties to the review to reconsider the case. Such a re-review may be prompted either by procedural problems or by significant new information. Consultation with OAA is strongly recommended before an administrator or faculty review body initiates a reconsideration of a case.

#### **3.8.1 Procedural error**

Revised: 04/01/07

Significant procedural errors (those that reasonably could have affected the outcome of deliberations) are to be corrected before the review continues. If a review body or unit administrator becomes convinced that such an error has occurred, that body or administrator is to take necessary steps to correct the error at the level of review at which it occurred. The case is to be fully reconsidered from that point on.

If internal letters of evaluation and comments letters have already been generated at that level of review and beyond, they are to be saved but not included in the dossier. The new written evaluations should note that reconsideration took place because of a procedural error and state the nature of the error. The comments process must be repeated for the new internal letters of evaluation at the TIU or college level.

#### **3.8.2 Significant new information**

Revised: 12/18/13; 06/26/18; 6/18/19; 5/15/20

Generally, reviews proceed on the basis of a candidate's record at the beginning of the review process. Occasionally it may be appropriate to amend the record when significant new information about items already contained in the dossier becomes available. Examples include acceptances of or publication of works listed as in progress; funding of grants listed as submitted; or contracts or patents that have received a license or other commercial activity. An amended record must be reviewed by all parties to the review process.

If information regarding significant new information about items already contained in the dossier becomes available before a case leaves the TIU, but after the TIU eligible faculty has voted, the TIU head may immediately pose to the TIU eligible faculty committee the question of the appropriateness of reconsideration. If the information becomes available after a case has left the TIU, a higher-level review body must return the case to the TIU if either the eligible faculty or the TIU head have given a negative recommendation.

New information is not accepted after the dossier has been submitted to OAA. Once the dossier has been submitted to OAA, the only information that may be added is information that corrects errors in items already included in the dossier.

#### **3.8.3 Recommended procedures**

Revised: 04/01/07

Following review of new information (which need not take place in a meeting), the TIU deliberative body may take a preliminary vote to determine whether to reconsider the case. A preliminary poll may take the form of a ballot asking each member of the deliberative body to indicate whether the new information might change their vote. If one person indicates that their vote might change, the TIU deliberative body shall meet to discuss the case with the new information and re-vote. The originally generated reports will then be amended to reflect the content of the reconsideration and the new vote. In this situation:



- Previously generated reports remain in the dossier.
- The comments process is repeated.
- The case then proceeds to the next level in the review process either for initial consideration or reconsideration. If that body has previously considered the case, it may also follow the two-step process described above to determine whether to re-vote the case.

### **3.9 Conflicts of interest and other recusals**

Revised: 05/01/10

#### **3.9.1 Committee of eligible faculty and P&T committee**

Revised: 04/01/07, 8/15/21

At a minimum, faculty with a familial or comparable relationship with a candidate must not participate in a review of that candidate. In addition, a close professional relationship can give rise to a conflict of interest, such as when a faculty member is co-author on a significant portion of the candidate's publications (i.e., collaborated on 50% or more of candidate's work), has collaborated with the candidate on major grants supporting research, has served as the candidate's dissertation advisor, is dependent in some way on the candidate's professional activities, or has a relationship with the candidate that has created a bias.

When there is a question about potential conflicts, open discussion and professional judgment are required in determining whether it is appropriate for faculty members to recuse themselves from a particular review. Units may establish formal mechanisms for excluding persons from a review on the basis of a conflict of interest.

Members of college and university P&T committees are not permitted to participate in reviews of cases from their own TIUs or in cases in which they have any involvement at a previous level of review.

#### **3.9.2 TIU heads and deans**

Revised: 05/01/10

If a TIU head has a conflict of interest, is at lower rank than the candidate, is not tenured, or is otherwise unable to write the TIU head letter, the dean will select another TIU head from within the college to review the case and write the TIU head letter. In the event that the TIU head is the dean of a college without units, the executive vice president and provost will select another dean who is also a TIU head to review the case and write the TIU head letter.

In the event that a dean of a college with departments has a conflict of interest or is otherwise unable to perform the review, the executive vice president and provost will select the dean of another college with departments to review the case and write the college letter.

### **3.10 Reviews in restructured tenure initiating units**

Revised: 12/18/13; 06/26/18

Unless otherwise set forth in the restructuring statement, candidates for promotion, or promotion and tenure, are to be given the choice of being reviewed under the APT document in effect on their start date, or on the date of their last promotion, whichever is more recent; or under the current APT document of the restructured unit. If the restructuring was more than 10 years before April 1 of the review year, the candidate must use the current document. In any case, the eligible faculty of the restructured unit will be responsible for conducting the review.

The candidate must make the choice and then acknowledge in writing that, once the review commences under the chosen means, the choice is irrevocable. Regardless of the candidate's choice, the current TIU head provides the administrative review of the case.

### **3.11 Withdrawals and negative decisions**

Revised: 04/01/07

#### **3.11.1 Withdrawals**

Revised: 04/01/07, 8/15/21

A candidate may withdraw from a review at any time. Only the candidate can stop a review for promotion and tenure once external letters of evaluation have been sought.

##### **3.11.1.1 Non-mandatory review**

Revised: 04/01/07

When a faculty member withdraws from a non-mandatory review, the withdrawal is noted on the college report ([Form 110](#)). The dossier should be kept in the candidate's TIU, but not in their primary personnel file, until such time as the candidate either is promoted or is denied tenure.

A candidate who decides to terminate a non-mandatory review is to put the request in writing and address it to the administrator at the level at which the case presently resides (regional campus, TIU, college, OAA).

The administrator at that level will notify all other relevant administrators.

##### **3.11.1.2 Mandatory review**

Revised: 12/18/13; 6/18/19, 8/15/21

Probationary faculty who withdraw from or decline to participate in a mandatory fourth year review, tenure, or promotion and tenure review are subject to the relevant standards of notice per [Faculty Rule 3335-6-08](#). Their decision to terminate the review must be accompanied by a letter of resignation to the TIU head (or regional campus dean) stating: In such circumstances, the dean will inform the faculty member in writing of the following:

- Last day of employment (no later than May 31 of the year following the mandatory review year). Normally this is the end of the seventh year but may be earlier if the faculty member had a shorter probationary period.
- Acknowledgement A statement that the decision to terminate the review is irrevocable and that tenure will not be granted.

This action requires that [the Report of Nonrenewal of Probationary Appointment of Tenure-track, Clinical/Teaching/Practice, and Research Faculty](#) be submitted to OAA, along with a copy of the dean's letter to the faculty member letter, by June 1 of the year in which the decision to terminate the review occurs.

OAA will keep accurate records of such an action since, like a negative decision, it must be assessed before rehiring the individual in another track or unit (see [Faculty Appointments Policy](#)).

#### **3.11.2 Negative decisions**

Revised: 02/15/13, 8/15/21



If the outcome of a non-mandatory review is negative, the candidate continues at the rank they held at the start of the review.

If an untenured candidate is denied tenure, they must be notified promptly of this decision and informed in writing that May 31 of the year following the mandatory review year is the last day of employment. The nonrenewal letter must be accompanied by a copy of the material on appeals (see [Faculty Appointments Policy](#)).

The termination date is May 31 regardless of hire date. May 31 will be the final working day for these persons, with a final pay-out effective on that day for both 9-month and 12-month faculty.

A negative decision usually precludes rehiring the individual, particularly in a new tenure-track faculty appointment (see [Faculty Appointments Policy](#)).

#### **4.0 Dossier**

Revised: 08/01/14; 5/15/20

The Record of Review for Promotion in Academic Rank-Tenure-Reappointment (Cover Sheet: [Form 109](#)) gives administrators' recommendations with their signatures along with basic information on the faculty member's appointment and the review. It is the first page of the dossier and should be immediately visible when the file is opened. Nothing should be placed before the Cover Sheet.

The Dossier Checklist ([Form 105](#)) is placed second, immediately behind the Cover Sheet.

A single checklist is used to ensure that every dossier meets all requirements before moving to the next level of review. In four stages, the candidate, the TIU-level POD, the college-level POD, and a designated staff member in the college office will use the same checklist to examine the dossier and to ascertain its accuracy and completeness. The college will serve as the final guarantor of the integrity of every dossier before it is forwarded to OAA for the completion of the review process.

In colleges without departments (colleges that serve as the TIU for their faculty), the POD will fulfill the role of the TIU-level designee.

The dossier should not contain duplicative material. When in doubt, err in favor of including material only once.

Primarily responsibility of the candidate:

- Criteria Used for Review (if not submitted, default will be the criteria in the APT document on the [OAA website](#))
- Part I. Introduction—education and professional positions
- Part II. Core Dossier

Primarily responsibility of the TIU and college:

- Record of Review (Cover Sheet, [Form 109](#))
- Dossier Checklist ([Form 105](#))
- Part III. Evaluation
- Part IV. Student Evaluation of Instruction
- Part V. Review Letters

#### **4.1 Outline**

Revised: 06/26/18; 07/05/18; 5/15/20, 8/15/21

Record of Review (Cover Sheet: [Form 109](#))

Dossier Checklist ([Form 105](#))

APT Document Used for Review (submitted only if the review does not follow the version on the OAA website at <https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure>)

## I. Introduction

### A. Biographical statement of candidate

## II. Core Dossier

## III. Evaluation

### A. Internal Letters of Evaluation

1. TIU annual review letters, as required by dossier outline, are arranged in chronological order (oldest to newest); with a written explanation if the set is incomplete;
  1. for assistant professors, all annual review letters since start date;
  2. for associate professors, or hires with tenure, all annual review letters since previous promotion or start date not to exceed last 5 years
2. **Comments and responses** submitted as part of annual reviews (including comments on fourth year review, if generated)
3. For assistant professors, Fourth Year (Sixth Year for Clinical Faculty in Medicine) Review letter to the probationary faculty member
4. Additional letters requested by the candidate and solicited by the head of TIU; these are optional, and can include letters from collaborators (external or from other units at OSU); candidates with significant service/outreach activities outside the unit may request that the TIU solicit letters from colleagues familiar with the candidate's contributions to these activities
5. Documentation of peer evaluation of teaching (letters, reports, etc.) as required by APT document of TIU

### B. External Letters of Evaluation

1. Summary sheet of all evaluators from whom a letter was received ([Form 114](#))
2. A representative sample of the letters sent to evaluators
3. Letters from at least five (5) external evaluators, consistent with list on summary sheet, with each letter preceded by a complete cover sheet ([Form 106](#))

## IV. Student Evaluation of Instruction

### A. **Cumulative Report**

### B. **SEI Overview Report**

### C. Summary of Open-Ended Student Evaluations

## V. Review Letters

- A. Regional campus faculty deliberative body, if applicable
- B. Regional campus dean, if applicable
- C. TIU (college without departments) faculty deliberative body
- D. TIU head

- E. Head(s) of unit(s) in which the candidate has split FTE appointments, if applicable (including Discovery Theme appointments)
- F. TIU-level comments process letters or notation that the candidate declined to provide comments
- G. College (with departments) Promotion and Tenure Committee
- H. College dean
- I. College-level comments process letters or notation that the candidate declined to provide comments

#### **4.1.1 Introduction**

Revised: 04/01/07; 07/20/17; 5/15/20, 8/15/21

A biographical statement can include a narrative description of the candidate's educational background, brief summaries of their teaching, research, and service efforts, and effort assignments (e.g., 40% teaching, 40% research, 20% service). This statement is to be no longer than 750 words. List candidate's name and current appointment (including joint and Discovery Theme appointments as appropriate), degrees and professional positions held, with dates for each. A CV should not be appended. This list replaces the traditional CV appended in the past.

#### **4.1.2 Core dossier**

Revised: 04/01/07

##### **4.1.2.1 Instructions for the candidate**

Revised: 04/01/12

Number pages consecutively within the Core Dossier (Section II. The first page will be the first item in the Core Dossier Outline.

In Section, III, place the required materials in sequence following the outline, but do not paginate.

Include every item in the Core Dossier Outline in the dossier. If a particular item is not applicable, or there is nothing to report, write "none" for the item. Do not omit the item.

If a candidate is unsure about the content needed for a particular item, they should consult their TIU head or chair of the committee of the eligible faculty for assistance.

Present accomplishments as succinctly as possible and in outline form to the extent possible. Some explanation is valuable, but lengthy narrative and explanation may obscure important accomplishments rather than highlight them. In general, narrative sections should be 750 words or less except where noted. Accomplishments may only be listed once in the dossier. Candidates should consult their chair of the committee of the eligible faculty with any questions about where specific accomplishments should be included.

Avoid self-evaluation except when it is requested. Others can most appropriately offer assessment of the quality and importance of the candidate's accomplishments.

Section IV.A. should contain only summary tables of SEI (Student Evaluation of Instruction) data or the evaluation data approved by the candidate's college. The SEI Overview Report should be placed in Section IV.B.

##### **4.1.2.1.1 Instructions for the candidate—OAA Approved Electronic Dossier**

Revised: 06/27/2017; 06/26/18; 6/18/19; 5/15/20, 8/15/21

Tenure-track, clinical/teaching/practice, and research faculty members undergoing promotion or promotion and tenure review or reappointment are **expected required** to use the OAA approved electronic dossier to generate their core dossier. Fourth year reviews, mandatory reviews, or reviews for promotion may use either VITA or a Word document that exactly matches the VITA format. **All faculty hires beginning August 2018 must use VITA. Exceptions must be approved by the Office of Academic Affairs.**

**Colleges may require VITA of all candidates.** Candidates are strongly encouraged to use VITA.

#### **4.1.2.2 Time frame**

Revised: 07/14/17; 06/26/18; 06/18/19, 8/15/21

For the core dossier for teaching and service sections, use the date of hire for probationary faculty, or date of last promotion or the last five years, whichever is most recent, for tenured/non-probationary faculty.

**The eligible faculty may allow a candidate to include information from before the date of last promotion if it believes such information would be relevant to the review. Where included, the candidate should clearly indicate what material is work completed since the date of the mandatory review, and what material is from prior to the mandatory review. However, prior material can be included if the eligible faculty consider it relevant to the review.**

For research/scholarship/discovery, use a full history of publications and creative work as this information provides context to the more recent and relevant research record and/or demonstrates scholarly independence. **As with teaching and service**, information about scholarship produced prior to the date of hire or date of last promotion may be provided. However, it is the scholarship performance since the date of hire or date of last promotion that is to be the focus of the evaluating parties.

#### **4.1.2.3 Organization**

Revised: 02/15/12

Organize all material in the Core Dossier in reverse chronological order.

#### **4.1.2.4 Core dossier outline**

Revised: 05/06/16; 07/15/17; 06/26/18; 6/18/19; 5/15/20, 8/15/21

##### Teaching

##### 1) Undergraduate, graduate, and professional courses taught

In the Core Dossier, list each course taught and all clinical instruction, including the following information since date of start date for promotion to associate, or since date of appointment or last 5 years, whichever is shorter, for promotion to professor:

- courses taught by quarter (AU, WI, SP, SU), semester (AU, SP), summer session, or term and year
- course number, title, and number of credit hours
- official final course enrollment
- percentage of course taught by candidate based on proportion of total student contact hours in course
  - brief explanation (less than 250 words) of candidate's role, if candidate was not solely responsible for course, including GTA supervision, course management, and team teaching

- indicate whether formal course evaluations were completed by students and/or faculty peers by placing a check mark in the appropriate column

If the candidate has not obtained student evaluations in every regular classroom course, explain why this was not done. Such evaluation is required by [Faculty Rule 3335-3-35\(C\)\(14\)](#).

Do not include in this list extension, continuing education, or other non-credit courses.

2) Involvement in graduate/professional exams, theses, and dissertations and undergraduate research for entire career at Ohio State

a) Graduate students—list completed and current and include:

- i) doctoral students (dissertation advisor): for advisees who have graduated, list name of student, year of graduation, and title of dissertation; also provide the current position of the former student, if known;
- ii) doctoral students (dissertation committee member): do not include service as a Graduate School representative (this should be listed in Service 6e);
- iii) doctoral students (candidacy examination committee chair);
- iv) doctoral students (candidacy examination committee member): do not include service as a Graduate School representative (this should be listed in Service 6e);
- v) master's students plan A (thesis advisor): for advisees who have graduated, list name of student, year of graduation, and title of thesis; also provide the current position of the former student, if known;
- vi) master's students plan B (advisor);
- vii) master's students (thesis committee member);
- viii) master's students (examination committee member).
- ix) residency candidates (who are not included above with other graduate students)
- x) clinical interns (who are not included above with other graduate students)

b) Describe any noteworthy accomplishments of graduate students for whom the candidate has been the advisor of record, for example, publications during or emanating from graduate program, awards for graduate work, prestigious post-docs, or first post-graduate positions. In this section only, candidates may have duplication; if they have co-authored work with a graduate student, they can list the citation in this section and in the research section.

c) Undergraduate research mentoring: for each student mentored, give name of student, title of thesis or project, quarter or semester of graduation, and noteworthy outcomes of this mentorship such as publications, presentations, honors or student awards.

d) Describe any noteworthy accomplishments of undergraduate students, in particular related to research, for whom the candidate has been the advisor of record (publications, posters, honors or student awards).

3) Involvement with postdoctoral scholars and researchers throughout career at Ohio State

List completed and current postdoctoral scholars and/or researchers under the candidate's supervision.

4) Extension, continuing education instruction (including DITL and STEP Mentoring [unless STEP Mentoring is listed under service]), and guest lectures since date of appointment for promotion to associate professor, and since date of appointment or last 5 years, whichever is shorter, for promotion

to professor. Summarize briefly the major instructional activities (workshops, non-credit courses) that the candidate has conducted. Identify the candidate's role in the instruction and the number of participants.

- 5) Curriculum development since date of hire at Ohio State if this is first review, regardless of rank. If this is a review for professor (career at Ohio State) list the items for the previous five years or since promotion, whichever time period is shorter.

Give specific examples of the candidate's involvement in curriculum development (role in the design and implementation of new or revised courses); development of new teaching methods or materials (undergraduate, graduate, or professional); creation of new programs. This section may also include examples of teaching methods or materials adopted beyond Ohio State, presentations on pedagogy and teaching at national and international conferences.

If Extension is a specified area of expectation for the candidate, include a description of the overall Extension program (curricular) goals, a brief description of the scope and sequence of instructional activities as they relate to the program (curricular) goals, the target audience(s), the candidate's role in the curriculum/program development, the role of others engaged in that curricular program, and a brief description of the impact of the curriculum.

- 6) Briefly describe the candidate's approach to and goals in teaching, major accomplishments (including positive impact of teaching on students), plans for the future in teaching (approximately 750 words; do not quote student comments, which should be summarized by someone other than the candidate in section IV.C.).

- 7) Evaluation of teaching

Briefly describe how the candidate has used the evaluation information to improve the quality of instruction (no more than 250 words). Do not summarize SEI data in this section, which is provided in sections IV.A. and IV.B.

- 8) Awards and formal recognition for teaching

List awards the candidate has received for excellence in teaching. Nominations for such awards should not be listed. This list may include citations from academic or professional units (department/school, college, university, professional associations) that have formal procedures and stated criteria for awards for outstanding teaching performance.

- 9) Other academic advising

Briefly describe academic advising of students not included in section 2 under teaching or section 7 under service. Examples might include advising of undergraduate majors or of graduate students who are in course work.

- 10) Completion of teaching development programs

List continuing education programs related to teaching since start date for promotion to associate professor, and since date of appointment or last 5 years, whichever is shorter, for promotion to professor. Include Foundation Impact Teaching at OSU teaching endorsements, course design institutes, FIT mentoring, or workshops offered by the Michael V. Drake Institute for Teaching and Learning as well as other teaching development programs. Include the following:

- Name of the session program or workshop
- Date completed

- Description of training
- Impact of training

### Research

Although all scholarly/creative works can be listed, please clearly denote outcomes since appointment or last promotion at Ohio State.

#### 1) List of books, articles, and other published papers.

Only papers and other scholarly works that have been formally accepted without qualification for publication or presentation, or have actually been published or presented, should be listed in Items 1a–1g below. Publication refers to both print and digital formats.

Works under review must be listed separately in Item 1k below.

Works being drafted and not yet submitted may be discussed in the narrative section in Section 3 below.

Use the standard citation style for the candidate's discipline with authors listed exactly as they are listed on the publication. Candidates must list themselves even if they are the only author.

In cases of multiple authorship for Items 1a–1e, a narrative description (approximately 50 words) of the candidate's intellectual contribution and percentage of contribution are required. Examples of appropriate formats for this information include:

- I designed the experiment (which was carried out by the graduate student co-authors) and wrote the article (75% contribution).
- I identified the patients for the study, administered the drug regimen, reported results to the consortium, and reviewed the draft manuscript (25% contribution).
- I completed and wrote the literature review for the paper, shared equally with the co-author in the analysis and interpretation of the data, and reviewed the complete draft manuscript (50% contribution).

Statements such as the following are not acceptable: “All authors contributed equally” or “50% effort.” Do not refer to past dossiers for models of how to write the required description, because requirements have changed.

For Items 1f–1j below: the above information is not needed unless the unit requires it.

Include as separate categories:

1a) Books (other than edited volumes) and monographs

1b) Edited books

1c) Chapters in edited books

1d) Bulletins and technical reports

1e) Peer-reviewed journal articles

- 1f) Editor-reviewed journal articles
  - 1g) Reviews (indicate whether peer reviewed)
  - 1h) Abstracts and short entries (indicate whether peer reviewed)
  - 1i) Papers in proceedings (indicate whether peer reviewed)
  - 1j) Unpublished scholarly presentations (indicate whether peer reviewed)
  - 1k) Potential publications under review (indicate authorship, date of submission, and to what journal or publisher the work has been submitted)
- 2) List of creative works pertinent to the candidate's professional focus. (If the candidate has no creative works to list, write "None" for Section 2. Do not list each individual item below.)
- 2a) Artwork
  - 2b) Choreography
  - 2c) Collections
  - 2d) Compositions
  - 2e) Curated exhibits
  - 2f) Exhibited artwork
  - 2g) Inventions and patents, including disclosures, options, and commercial licenses
  - 2h) Moving images
  - 2i) Multimedia/databases/websites
  - 2j) Radio and television
  - 2k) Recitals and performances
  - 2l) Recordings
  - 2m) Other creative works
- 3) Brief description of the focus of the candidate's research, scholarly or creative work, major accomplishments, and plans for the future, including works in progress.

This section can include description of work that has not yet been submitted for publication, and should be approximately 750 words. Although future plans may be included, works should be items that are in final edits/process. This section can also include a brief description of any trainings completed by the candidate to prepare for the submission of research funding.

- 4) Description of quality indicators of the candidate's research, scholarly, or creative work such as citations; publication outlet quality indicators such as acceptance rates, ranking, or impact factors of



journal or publisher; or other indicators of the impact of the candidate's work. Individual units should determine what kinds of information could be described here. Although VITA provides citation and impact factor tables, if these are not relevant metrics for the unit, they may be deleted.

## 5) Research funding

In cases of multiple authorship for ~~Items 5a and 5b below~~ funded and proposed grants noted below, a narrative description (of the type described above for Item 1, approximately 50 words) of the candidate's intellectual contribution is required. List the author or authors in the order in which they appear on the grant proposal.

The candidate may provide the approximate percentage of their contribution in relation to the total intellectual effort involved in the grant proposal if the unit or college requires this information.

### 5a) Funded research, including contracts and clinical trials, on which the candidate is or has been the principal investigator (i.e., lead investigator)

- period of funding
- source and amount of funding
- amount of funding allocated to the candidate
- whether funding is or was in the form of a contract or grant

### 5b) Funded research, including contracts and clinical trials, on which the candidate is or has been a co-investigator (i.e., not the lead investigator—includes co-principal investigator, co-investigator, collaborator, evaluator, etc.)

- period of funding
- source and amount of funding
- amount of funding allocated to the candidate
- whether funding is or was in the form of a contract or grant
- candidate's role

### 5c) Proposals for research funding that are pending or were submitted but not funded

- date of submission
- title of project
- authors in the order listed on the proposal
- agency to which proposal was submitted
- priority score received by proposal, if applicable
- candidate's role

### 5d) Funded training grants on which the candidate is or has been the equivalent of the principal investigator

- date of submission
- title of project
- authors in the order listed on the proposal
- agency to which proposal was submitted
- priority score received by proposal, if applicable

### 5e) Proposals for training grants that are pending or were submitted but not funded

- date of submission
- title of project
- authors in the order listed on the proposal
- agency to which proposal was submitted
- priority score received by proposal, if applicable

5f) Any other funding received for the candidate's academic work. Provide the type of information requested below as appropriate.

- date of submission
- title of project
- authors in the order listed on the proposal
- agency to which proposal was submitted
- priority score received by proposal, if applicable
- candidate's role

- 6) List of prizes and awards for research, scholarly, or creative work. Nominations for such awards should not be listed.

#### Service and Engagement

- 1) List of editorships or service as an editorial reviewer or board member for journals, university presses, or other learned publications.
- 2) List of offices held and other service to professional societies and impact of service. List the organization in which office was held or service performed. Describe the nature of the organization (open or elected membership, honorary) and candidate's responsibilities.
- 3) List of consultation activity (industry, education, government). Give the time period in which consultation was provided, candidate's responsibilities, and other information as appropriate.
- 4) Clinical services. State specific clinical assignments.
- 5) Other professional/public community service directly related to the candidate's professional expertise, if not listed elsewhere. Community service not germane to a faculty member's professional expertise is not relevant to P&T reviews.
- 6) Administrative service. Give dates and description of responsibility.
  - 6a) Unit committees
  - 6b) College or university committees
  - 6c) Initiatives undertaken to enhance diversity in the candidate's unit, college, or the university
  - 6d) Administrative positions held (e.g., graduate studies chair)
  - 6e) Service as a graduate faculty representative on a dissertation in another unit or university
- 7) Advisor to student groups and organizations

List the group or organization and specific responsibilities as advisor.

8) Office of Student Life committees

8a) List Office of Student Life committees on which the candidate has served.

8b) Summarize participation in Student Life programs such as fireside discussions, lectures to student groups outside the candidate's unit, addresses or participation at student orientation, and the Second-Year Transformational Experience Program (STEP) (unless listed under teaching).

9) List of prizes and awards for service to the profession, the university, or the unit. Nominations for such awards should not be listed.

10) Brief elaboration that provides additional information about service activities listed above.

This section can include a description of the impact of the candidate's service and engagement and should be approximately 750 words.

#### 4.1.3 Letters of evaluation

Revised: 04/01/07; 5/15/20

Only letters solicited by the TIU head, chair of the committee of the eligible faculty, or other authorized persons may be considered in the review process and/or included in the dossier. See [Letter 201 in the OAA Policies and Procedures Handbook](#) for a sample letters to external evaluators.

All items in this section are to be placed in the order listed to ensure that necessary items are included and may be easily located during the review process.

Every item in Part III.A. is to be preceded by a colored page noting the item that follows. These pages can be found [here](#).

##### 4.1.3.1 Internal letters of evaluation

Revised: 06/15/15; 07/15/17; 6/18/19, 8/15/21

1) Annual review letters:

- OAA has required written annual evaluations of all tenure-track, clinical/teaching/practice, and research faculty since 1993. If annual review letters are lacking for any of the years specified below, a written explanation is required.
- For untenured candidates, include all annual review letters since date of hire; all fourth-year review letters are to be included here.
- For tenured candidates, include all annual review letters since last Ohio State promotion or date of hire with tenure, not to exceed the most recent five years.

2) Written comments on the annual reviews (and fourth-year reviews for probationary tenure-track faculty): include any comments submitted by the candidate as part of an annual review; any comments submitted by the candidate as part of the fourth-year review are to be included here.

- 3) Documentation of peer evaluation of teaching: include any letters or reports generated as part of peer evaluation. The material in this section must match requirements set forth in the TIU's APT document.

#### 4.1.3.2 Additions

Revised: 12/18/13

Departments and colleges may add to the above list any evaluations that are required in their APT documents, and place them under III.A.4: Other letters. For example, in some TIUs that have sections or divisions, a letter from the section or division head is required by the unit. TIUs may also solicit and obtain letters regarding scholarship from a list provided by the candidate of colleagues in other units at Ohio State, including other TIUs and academic centers, or from collaborators at other institutions. Such letters may be particularly helpful in the case of candidates who are engaged in significant inter- or trans-disciplinary scholarship. Candidates with significant service and/or outreach activities outside the unit may also request that the TIU solicit letters from colleagues familiar with the candidate's contributions to these activities.

#### 4.1.3.3 External letters of evaluation

Revised: 04/01/07; 5/15/20, 8/15/21

- 1) See [Letter 201 \(tenure track and research faculty\)](#) and [Letter 203 \(clinical/teaching/practice faculty\)](#) in the *OAA Policies and Procedures Handbook* for a sample letters to external evaluators.
  - 2) Summary [sheet listing form for responding external reviewers](#) (Summary Form for Responding External Evaluators, [Form 114](#)):
    - name and institution of all persons from whom letters were [solicited received](#)
    - name of person who suggested each evaluator
    - the relationship of the evaluator to the candidate (expert in the field, professional colleague)
  - 2) A single representative example of the letters sent to the evaluators if these letters were identical. If different letters, or different sets of material for review, were sent, an example of each must be included along with an explanation of why evaluators were treated differently.
- If the letter does not list the materials sent to the evaluators, provide this information separately.
- 3) At least five external letters preceded by a cover page (see External Evaluator Form, [Form 106](#)) for each letter received containing the following information:
    - name, title (academic rank as appropriate), and institutional affiliation of the letter writer;
    - concise summary of the person's qualifications as an evaluator of the candidate; sufficient information must be provided to establish the credibility of the evaluator; simply to note that the evaluator is a professor at university X or does research in the candidate's area is insufficient; do not, however, include the full CV of each evaluator when forwarding the dossiers to OAA;
    - name of person who recommended the evaluator (candidate, chair, or other [specified]);
    - evaluator's relationship to the candidate (expert in the field, professional colleague); this information must match information on [Form 114](#)) and in the evaluator's letter; if a professional relationship is noted, the TIU must indicate whether they consider this a conflict of interest.

#### 4.1.4 Student Evaluation of Instruction

Revised: 06/01/09

Only in individualized teaching situations for relatively small groups, such as grand rounds or clinical teaching, may individual evaluations (one per student) be included in this section. These responses may be summarized on a single form for each clinical teaching group, since numbers are small, but OAA does not require this.

##### 4.1.4.1 Cumulative Report

Revised: 02/15/12; 5/15/20

Provide a summary table for all courses in which the candidate used a type of fixed-response survey (the SEI or comparable unit form) to obtain student evaluations. Complete documentation as described below is required.

Results for every quarter/semester the course was taught are to be presented horizontally across the page in the summary table. The table should not simply list item numbers, but clearly describe the item to which students were responding. The table should be self-explanatory to anyone who reviews it.

To obtain a Cumulative Student Evaluation of Instruction (SEI) Report that meets OAA guidelines, click [here](#) for a menu of the Registrar's online services. To access reports after summer 2018, follow the instructions for downloading all reports. To access reports from summer 2018 and earlier, follow the instructions in the section on "SEI Reports for Prior Terms."

##### 4.1.4.2 Fixed-response student evaluation data and/or SEI summary report

Revised: 02/15/12, 8/15/21

Copies of individual course response student evaluation reports are to be placed here. Item A of section IV of the dossier should include only the summary tables of these reports.

- a) If the unit uses SEI instruments, include all individual course reports. For promotion to associate professor, include all reports since date of hire; for promotion to professor, include all reports since appointment to associate professor, not to exceed 5 years.
- b) If the unit uses another type of fixed-response survey instrument, include here one page per course/quarter/semester taught, listing:
  - actual statements to which students responded
  - full rating scale of possible responses
  - for each statement, number of students that selected each response choice

##### 4.1.4.3 Summary of open-ended student evaluations

Revised: 04/01/07; 07/20/17; 5/15/20

Open-ended (discursive) evaluation: For all courses in which the candidate used open-ended evaluation instruments to collect student input (including open-ended questions on fixed-response evaluations if collected by the unit for this purpose), someone other than the candidate must summarize the comments on a course-by-course basis for inclusion in this section of the dossier. The TIU head will assign this task to a faculty member (not the candidate) or qualified staff member. State in the dossier the name and role (such as faculty member or staff member) of the person who wrote the summaries. OAA recommends that the candidate review these summaries prior to inclusion in the dossier.

Candidates for promotion to professor are to provide evaluations for the most recent five years, or date of last promotion, whichever is most recent.

State on each course summary the number of students in the course and the number of these who completed evaluations.

Do not include raw student comments in this section.

#### **4.1.4.4 Appointment, Promotion, Tenure Internal Review Evaluation Responsibilities**

Revised: 06/05/16; 07/14/17; 5/15/20

- 1.1) Regional campus faculty deliberative body: detailed assessment of the candidate's accomplishments in teaching and service along with recommendations based solely on these aspects of the record. The chair of the regional campus faculty deliberative body or the regional campus dean/director must explain the regional campus expectations against which the candidate is being assessed.
- 1.2) Regional campus dean/director: detailed assessment of the candidate's accomplishments in teaching and service along with recommendations based solely on these aspects of the record.
- 2.1) TIU faculty deliberative body: detailed assessment, to include:
  - thorough assessment of the candidate's accomplishments in teaching, scholarship, and service, and how they compare to the TIU's standards as described in the unit's APT; both strengths and weaknesses should be discussed
  - consideration of all materials related to joint appointments, including Discovery Theme appointments, if applicable, to include review of joint appointment MOU and annual review letters provided by the joint appointment TIU head and Discovery Theme faculty lead, where appropriate
  - report of the discussion by the faculty deliberative body
  - numerical vote of the full faculty deliberative body and minimum vote required for a positive recommendation (included in 1<sup>st</sup> paragraph of letter)
- 2.2) TIU head (or deans in colleges without departments): independent assessment of the candidate's accomplishments, regarding both strengths and weaknesses, including consideration of a candidate's joint appointment (including Discovery Theme appointments). This assessment should take into account the faculty deliberative body's recommendation. If the TIU head's assessment and/or recommendation differs from that of the faculty, bases for differing judgments should be addressed.
- 2.3) Head of any unit in which the candidate holds a joint (split FTE) academic appointment, including Discovery Theme appointment: independent assessment of the candidate's accomplishments, regarding both strengths and weaknesses. It is the TIU head's responsibility to solicit this letter prior to the meeting of the TIU eligible faculty.
- 2.4) TIU-level comments process: include any letters generated or a notation that the candidate declined to provide comments.
- 3.1) College P&T committee (in colleges with departments): independent assessment, to include a statement about how accurately the TIU deliberative body and TIU head followed stated TIU processes, and also to include the committee's numerical vote and recommendation to the dean. If

the college committee's assessment is contrary to the TIU-level assessment, rationale for differing judgments should be addressed.

- 3.2) College dean (in colleges with departments): independent assessment and recommendation to the executive vice president and provost. If the dean's assessment and/or recommendation differs from any of the prior assessments or recommendations, rationale for differing judgments should be addressed.
- 3.3) College-level comments process: include any letters generated or a notation that the candidate declined to provide comments.

## **5.0 Procedures for clinical/teaching/practice and research faculty**

Revised: 04/01/07; 5/18/19

All decisions regarding reappointment and non-reappointments are to follow the [Faculty Annual Review and Reappointment Policy](#).

Positive decisions by the dean to reappoint clinical/teaching/practice and research faculty to a new contract period will be approved by OAA without review and forwarded to the BOT for final action. For each positive decision, submit to OAA one original signed Cover Sheet ([Form 109](#), Record of Review for Promotion in Academic Rank/Tenure/Reappointment). Do not submit reappointment letter, CV, or dossier.

A decision by the dean not to reappoint is final.

## **5.1 Clinical/teaching/practice faculty**

Revised: 04/01/07; 5/18/19, 8/15/21

Clinical/teaching/practice faculty who have not collected and maintained the documentation necessary to support a fully informed evaluation should be informed that promotion will be considered only when sufficient documentation has been accumulated **and assisted with understanding what information is required**.

### **5.1.1 APT Document used for reappointment and promotion reviews**

Revised: 03/01/15; 5/18/19

All clinical/teaching/practice faculty members being considered for reappointment or promotion will be reviewed using the unit's current APT document (as approved and posted on the [OAA website](#)). Faculty members, however, may choose to be reviewed under the document that was in effect on their start date, on the date of their most recent reappointment, or on the date of their last promotion, whichever is most recent.

A faculty member who chooses to use an earlier document will notify their TIU head of this intent by submitting the APT document that was in effect on their start date, on the date of their most recent reappointment, or on the date of last promotion when submitting their dossier and other materials for review. The deadline for doing so will be the unit's regular deadline for receiving the dossier and other materials for the review in question.

### **5.1.2 Levels of review**

Revised: 11/03/17

All promotion cases will be forwarded to the Office of Academic Affairs for review.

### **5.1.3 Documentation of scholarship, teaching and service**

Revised: 04/01/07; 6/18/19

Complete documentation of scholarship, teaching, and service is required.

### **5.1.4 Documentation of research: external evaluation**

Revised: 04/01/07; 3/40/18; 6/18/19; 5/15/20, 8/15/21

External evaluations are optional for clinical/teaching/practice faculty unless scholarship is an expectation of the position. If research is an expectation of the position but an insufficient body of work exists to justify the efforts of external evaluators to review it, the candidate should not be reviewed.

External evaluations, when deemed necessary, must meet the criteria set forth in Section 3.6 of this volume. Unless an exception has been approved by OAA, at least five unbiased external evaluations of the individual's research record are normally required. [For a sample letter to an external evaluator, see Letter 203.](#)

The presence of research papers in the dossier of a faculty member whose assignment consists solely of teaching and service does not create a need for external evaluation of research. In such cases, evaluators can provide little useful information. However, in some cases, depending on the TIU's requirements for promotion, external evaluation of clinical/teaching/practice work, teaching (for clinical or practice faculty), and/or professional service may be appropriate.

## **5.2 Research faculty**

Revised: 04/01/07, 8/15/21

Research faculty who have not collected and maintained the documentation necessary to support a fully informed evaluation should be informed that promotion will be considered only when sufficient documentation has been accumulated [and assisted with understanding what information is required.](#)

### **5.2.1 APT Document used for reappointment and promotion reviews**

Revised: 03/01/15

Research faculty members being considered for reappointment and promotion reviews will be reviewed using the unit's current APT document.

### **5.2.2 Levels of review for promotion**

Revised: 04/01/07

All promotion cases will be forwarded to the Office of Academic Affairs for review.

### **5.2.3 Documentation of teaching and service**

Revised: 04/01/07

Normally research faculty members conduct research, but do not teach; documentation of teaching is therefore not generally expected. Documentation of service is required only if the faculty member has [significant](#) service responsibilities.

### **5.2.4 Documentation of research: external evaluation**

Revised: 04/01/07; 5/15/20



External evaluations are required for research faculty promotion reviews as research is an expectation of the position.

External evaluations must meet the criteria set forth in Section 3.6 of this volume. At least five unbiased external evaluations of the individual's research record are normally required. For a sample letter to an external evaluator, see [Letter 201](#).

### **5.3 Non-reappointment notice**

If a clinical/teaching/practice or research faculty member is not reappointed, they must be informed according to the relevant standards of notice set forth in [Faculty Rule 3335-6-08](#).

## **6.0 Procedures for associated faculty**

Revised: 12/18/13

Associated faculty who have not collected and maintained the documentation necessary to support a fully informed evaluation are to be informed that promotion will be considered only when sufficient documentation has been accumulated and assisted with understanding what information is required.

### **6.1 APT Document used for reappointment at senior rank**

Revised: 03/01/15

Associated faculty members being considered for reappointment at senior rank will be reviewed using the unit's current APT document.

### **6.2 Levels of review**

Revised: 04/01/07

A negative recommendation at any level means that the final decision is negative and the case does not go forward.

If the TIU head makes a negative recommendation, the decision is negative.

If the TIU head makes a positive recommendation and the dean makes a negative recommendation, the decision is negative.

The only promotion cases forwarded to OAA for review at the university level are those for which the dean recommends positively. The dean's decision is final for cases in which promotion is denied.

### **6.3 Documentation of teaching and service**

Revised: 07/15/17

Documentation should match that required for tenure-track faculty.

#### **6.3.1 Associated clinical faculty (faculty of practice)**

Revised: 04/01/07; 5/18/19; 8/15/21

Documentation shall be specified by the academic unit as appropriate to its mission.

#### **6.3.2 Associated faculty with tenure-track titles below 50% FTE and adjunct faculty**

Revised: 04/01/07

Documentation should match that required by the academic unit for tenure-track faculty.

#### **6.4 Documentation of research: external evaluation**

Revised: 07/24/12; 5/18/19; 5/15/20

External evaluations are optional for associated faculty. In cases where a department or college APT document does not specify that they be solicited, the TIU head should determine whether to solicit them in consultation with the committee of eligible faculty chair and with the approval of the college dean (in colleges with departments). OAA recommends that external evaluations be solicited in cases where the associated faculty member's responsibilities include a significant expectation of published research or scholarship or when the eligible faculty is not able to provide a thorough peer review of the case without the expertise of faculty outside of the university. In some cases, external evaluation of clinical work and professional service may be appropriate.

#### **7.0 Approved exceptions**

Revised: 3/25/04; 5/15/20

OAA has approved certain exceptions to the P&T rules. Any exceptions to the P&T rules must be made in accordance with Faculty Rule [3335-6-09](#).

#### **7.1 College of Medicine**

Revised: 3/25/04

The College of Medicine makes the following exceptions for tenure-track probationary faculty with substantial clinical service responsibilities:

- The maximum probationary period for assistant professors is 11 years rather than six years with mandatory review for promotion and tenure in the 11th year.
- The maximum probationary period for associate professors hired without tenure is six years rather than four with mandatory review for tenure in the final year of the probationary period approved for a particular faculty member in the letter of offer.
- Promotion to the rank of associate professor without the simultaneous award of tenure may take place subject to the existence of OAA approved criteria for this action at both the unit and college level. Faculty 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.

#### **7.2 University Libraries**

Revised: 3/25/04; 5/15/20

University Libraries may allow a P&T committee that is not a committee of all eligible faculty members to make recommendations to the dean regarding P&T cases. **In 2011, the faculty of the University Libraries voted to follow the standard OSU procedures.**

#### **7.3 University Extension in the College of Food, Agricultural, and Environmental Sciences**

Revised: 3/25/04

University Extension may allow a P&T committee that is not a committee of all eligible faculty members to make recommendations to the TIU head regarding P&T cases.

#### **7.4 Department of Internal Medicine**

Revised: 11/6/2017; 5/15/20

The Department of Internal Medicine may allow a P&T committee that is not a committee of all eligible faculty members to make recommendations to the TIU head regarding P&T cases.

### **7.5 Department of Pediatrics**

Revised: 8/01/14

The Department of Pediatrics may allow a P&T committee that is not a committee of all eligible faculty members to make recommendations to the chair regarding P&T cases.