

Office of Academic Affairs

Policies and Procedures Handbook

Chapter 2: Unit Administration

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1.0 Tenure initiating unit

The concept of the tenure initiating unit (TIU) is described in [Faculty Rule 3335-6-06](#). Characteristics of departments and schools are described in [Faculty Rule 3335-3-34](#). Each tenure-track faculty member, including those with multiple appointments, has a tenure home in a single unit (department, school, division, or in the case of colleges without departments, college). 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. Eligible faculty members with multiple appointments may vote on promotion and, where appropriate, tenure matters only in their designated TIU (see the APT guidance document, section III.A for information on faculty governance rights). In annual reviews and promotion and tenure reviews, TIUs must seek input from all units where the faculty member has an appointment (see the APT guidance document, sections III.D.1 and III.D.2 for additional information on seeking input).

1.1 Chairs and directors (TIU heads)

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.

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.

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 advanced 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.

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

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

TIU heads may appoint such assistant, associate, and vice chairs and directors (or for colleges that are TIUs, assistant, associate, and vice deans) 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

TIU heads can obtain information on staff hiring and supervising procedures from college fiscal officers or human resources professionals and from Employee and Labor Relations (614-247-6947). The Office of Human Resource (OHR) home page may be found [here](#).

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

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. To learn more about impacts to staff benefits, TIU heads should communicate with OHR.

1.4 TIU faculty

1.4.1 Units approved for clinical/teaching/practice faculty

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, and 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. For all units without an approved exception (see below), 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.

Arts and Sciences

African American & African Studies
 Art
 Arts Administration, Education & Policy
 Anthropology
 Classics
 Communication (10)
 Comparative Studies
 Dance
 Design
 Earth Sciences
 East Asian Languages & Literatures
 Evolution, Ecology & Organismal Biology
 French and Italian
 Geography
 Germanic Languages & Literatures
 History
 History of Art
 Linguistics
 Mathematics
 Microbiology
 Molecular Genetics
 Music
 Near Eastern and South Asian Languages and Cultures
 Philosophy
 Psychology
 Slavic & East European Languages & Cultures
 Spanish & Portuguese
 Speech and Hearing Science
 Statistics

Theatre, Film & Media Arts

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 (25)
 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 (15) 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 (48)

Pharmacy

Public Health

Public Affairs

Social Work

Veterinary Medicine (65)

Veterinary Biosciences

Veterinary Clinical Sciences

Veterinary Preventive Medicine

1.4.2 Units approved for research faculty

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

Arts and Sciences

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 (25)

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

1.4.3 Duties, responsibilities, and workload

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.

Colleges and TIUs are required to build their guidelines based on the revised Faculty Workload Guideline and describe **the allocation of effort in the unit in general terms (as opposed to that of individual faculty members)**. Each guideline must also define the range and general expectations regarding teaching, research, and creative activity, as well as service responsibilities, in terms of the academic mission of the college and TIU.

To ensure that these guidelines are truly developed through a model of shared governance, the process of approval should include consultation of all faculty in the academic unit, according to Faculty Rule 3335-3-35, providing enough time for faculty discussion.

TIU workload guidelines must, at a minimum, include statements of:

- Overall workload expectations for each faculty type according to their roles and responsibilities, and to ensure a balance of faculty time and effort spent in teaching, research and creative activity, and service.
 - The academic unit leader (chair, director, dean of college without department, regional campus dean) is responsible for achieving this balance of time and effort for the academic unit (e.g., department/school, colleges without departments, regional campuses) through the assignment of duties to individual faculty.
 - If TIUs have tenure track faculty on regional campuses (Lima, Mansfield, Marion, Newark), then their workload expectations and APT documents should align to allow faculty to achieve the specific criteria required for promotion, given the higher proportion of time allocated to teaching duties for regional campus faculty compared to tenure track faculty on the Columbus Campus.
- 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 minor programs, and graduate and/or professional programs.

- No faculty should be at 0% contribution to teaching unless they are in a 100% administrative role, on faculty professional leave (FPL), or under temporary special assignment/research buyout. Even research faculty have instructional responsibility. Traditionally, the OSU standard for a faculty with a 100% teaching load (e.g. Lecturers/ Sr. Lecturers) has been 24 credit hours (eight 3-credit courses, or equivalent) for
- 9-month contracts and 30 credits (or equivalent) for 12-month contracts. This standard is to be re-evaluated by each academic unit, and equivalencies for credit hours need to be developed at the unit level in an equitable and proportional way across 9-month and 12-month decreased.
- Expectations of time allocation to research/creative activity by faculty types.
- Expectations of time allocation to service and/or extension by faculty types.
- Expectations of clinical practice not related to teaching or service, where appropriate.

1.4.3.1 Teaching

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 time allocation (aligned with required ranges for each faculty type) and not use average, minimum, and maximum course load per year (in terms of either courses or credit hours).

Equivalencies for meeting such effort 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, responsibilities, and workload. [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, responsibilities, and workload 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 (including mode of instruction) and, in most cases, TIU

service. Once teaching assignments are made by the TIU head, the course must be taught in the mode (i.e., distance, hybrid, or in-person) assigned. The mode of instruction is not at the discretion of the faculty.

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 guidelines policy on faculty duties, responsibilities, and workload.

1.4.3.1.1 Faculty teaching workload

In setting college workload guidelines, it is important to recognize the need for flexibility with respect to ranges in teaching, research and creative activity, 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 and 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 and 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

A unit's guidelines on faculty duties, responsibilities, and workload 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, responsibilities, and workload in instruction and service in response to variations in the level of scholarly productivity.

1.4.3.3 Service

A unit's guidelines on faculty duties, responsibilities, and workload 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 or that may create a conflict of commitment.

1.4.3.4 Other elements of faculty workload

It is anticipated that unit level policies will differ given the wide range of fields and field norms represented across the University. Nonetheless, unit level policies should address minimally the following additional elements when relevant to the work of the faculty in the unit:

- **Faculty with Clinical Appointments in Health Science Colleges.** Faculty with such clinical appointments may require clarification of the equivalencies in their instructional activities that contribute to their teaching workload. Examples include conducting formal educational activities for medical and health professions students during required and elective clerkships; participating in formal teaching activities for residents/fellows serving within the specific division and the Department; and participating in evaluations of medical and health professions students, residents, and fellows.
- **Faculty with Extension Appointments.** Faculty with extension appointments may require different determinations of teaching, research and creative activities, and service due to their extension roles and assignments. Faculty with extension appointments should have a set of articulated (curricular) goals, a clear scope and sequence of instructional activities relating to the program (curricular) goals, appropriate target audience(s) given the position description and funding, and partners both within and external to the university. While extension teaching does fall under the broad category of teaching, extension effort should be called out separately from for-credit teaching to provide clarity for the faculty member and those evaluating them.
- **Joint appointment.** Faculty workload assignments for faculty with joint appointments (e.g., in other academic TIU or centers and institutes) should be proportional to the assigned FTE in the respective units.
- **Unit Administration.** Assumption of administrative responsibilities within the unit (e.g., chair/director, vice/associate chair/director, program director, director of special departmental projects) requires reduction of expectations for teaching, research and creative activities, and/or service. The reduction may be dependent on the size of the unit, the scope of the administrative responsibilities, and other relevant factors.
- **Clinical Work.** Contributions to patient care in a clinical setting, without the engagement of learners, requires reduction of expectations for teaching, research and creative activities, and/or service. The reduction may be dependent on the scope and frequency of clinical patient care responsibilities, and other relevant factors.
- **Other Administration.** There may be instances in which faculty members will be asked to assume significant administrative roles, for example when a faculty member is assigned to lead

a research center or strategic initiative. Assignment of additional time in the areas of administration and the consequent reduction of expectations for teaching and/or research and creative activity and/or service should be directly related to the duration and the extensiveness of the administrative commitment.

- **New and Early-Career Faculty.** Assignments for new and/or early-career faculty members should take into consideration their need to develop or teach new courses, to begin or establish a research program, to establish extension programs, or other factors to become established in their roles.
- **Time interval.** Unit policies should determine the interval considered for faculty workload expectations. For example, some units may assess faculty workload on an annual basis, while others may choose to assess faculty workload over a multi-year period (e.g., 2–3 years). Individual workload should be discussed annually during the annual review process.
- **Workload adjustments.** Unit policies should address how faculty workload is rebalanced when a faculty member voluntarily expresses a desire to adjust their workload (e.g., a desire to engage in additional teaching in lieu of some research activity, a desire to decrease one’s FTE proportion). Similarly, unit policies should address how faculty workload is rebalanced based on review processes (e.g., annual, 4th year), which determine that a faculty member has not met unit performance expectations in one or more areas (e.g., research productivity, teaching, service). Workload adjustments must be equitable and meet the needs of the unit.
- **Complaint mechanism.** The TIU chair/director has the role of assigning courses. Unit policies should include a process for faculty members to file complaints regarding their assigned workload, if they exceed the designated number of courses (or equivalent teaching assignments).
 - Faculty members in departmentalized colleges should first seek to resolve the matter with their TIU head/director. If the matter cannot be resolved, the complaint should be reviewed by the Dean.
 - Faculty members in colleges that are the TIU/regional campuses should first seek to resolve the matter with their dean or dean/director. If the matter cannot be resolved, the complaint should be reviewed by OAA.

1.4.4 Evaluation of instruction

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 associate professors or professors 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

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 a particular form for 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 Peer evaluation requirements

Periodic peer evaluation is required for all tenure-track faculty, 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 Peer evaluation recommendations

Peer evaluation should focus on aspects of teaching most effectively assessed by 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 Peer evaluation of instruction

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 Peer evaluation of course materials

Peer evaluation of teaching should include a review 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 Revising current peer evaluation processes

The [Michael V. Drake Institute for Teaching and Learning](#) has resources available to units to support the revision of peer evaluation of teaching processes. Departments, programs, and units may request a unit-level consultation on needs related to teaching and learning by emailing drakeinstitute@osu.edu.

1.4.4.2 Student evaluation of instruction

[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 Student evaluation of instruction requirements

Every TIU's APT document must specify a single required method of soliciting student feedback. 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](#).

1.4.4.2.2 Student evaluation of instruction recommendations

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.

When assessing teaching, TIUs 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 of instruction

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 completed by a faculty member.

1.4.4.4 Self-evaluation of instruction

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 of teaching evaluation data and feedback

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 Reporting for duty

Nine-month faculty members are generally expected to report for duty August 15th through May 14th. 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. Twelve-month faculty are expected to report for duty on their start date.

1.4.6 Faculty resignation and retirement

A faculty member who intends to resign or retire from the university should meet with their TIU head and make those intentions known as early as possible when the timeline is defined. Upon deciding to resign or retire, a faculty member must either (1) submit in writing (i.e., letter or email) to the TIU head their intent to resign or retire with an effective date, or (2) submit the resignation or retirement via Workday. The TIU is to submit a request for resignation or retirement via Workday if not completed by the faculty member. In cases where a date has not been given, the TIU head is to acknowledge receipt of the resignation or retirement in writing and seek confirmation of the effective resignation or retirement date after the faculty member has (1) submitted in writing to the TIU head their decision, or (2) after Workday has automatically generated a confirmation message to the TIU.

A faculty member may submit a written request to rescind their resignation or retirement. The request may be submitted through and including the effective date of their resignation or retirement. Although the TIU has sole discretion to accept or reject a faculty member's request to rescind their resignation or retirement, the TIU must consult with the dean of the college prior to accepting or rejecting the request.

Upon terminating employment with the university, separating faculty must take action to assure that all obligations to the university have been fulfilled prior to departure. Before leaving, faculty should contact the Office of Human Resources to confirm benefit transition arrangements and to turn in ID cards, keys, and any other university property.

1.5 Course scheduling

Although TIU 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. Courses enrolling fewer than fifteen may be offered if sufficient resources and programmatic justifications exist.

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, courses with enrollments that are frequently below the minimum until there is reason to expect adequate enrollment. 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 Continuity of course scheduling

Ohio State strives to remain open and operational to ensure continuity of instruction and services to its students. However, extreme conditions, such as severe weather, can warrant the usage of the university's [Weather or Other Short-Term Closing Policy](#) resulting in the closure of parts of the Columbus campus and/or any of the regional campuses. The safety and well-being of students, faculty, and staff are the university's highest priority.

When a decision is made to close the university or cancel in-person classes, it will be done in a manner that minimizes disruption to students and employees. As such, the university's Weather or Other Short-Term Closing Policy allows instructors teaching in-person to keep their class on schedule during disruptive times through alternative teaching methods. Unless otherwise announced by the university, online or distance-learning classes will occur as scheduled.

To maintain course continuity, clear communication is essential. Communication begins the first week of new term and with the syllabus. Faculty are encouraged to discuss their continuity plan with students and include the following language in their syllabus:

“Should classes be cancelled on the Columbus campus and/or regional campuses, you will be notified as to whether alternative methods of teaching will be offered to ensure continuity of instruction for this class. Communication will be via (mode of communication, e.g., Carmen or other electronic means). Faculty teaching online are encouraged to include the following: “Unless otherwise announced by the university, online or distance-learning classes will occur as scheduled.”

It is at the discretion of the instructor as to whether an alternative method of teaching will occur when classes have been cancelled under the Weather or Other Short-Term Closing Policy. Instructors teaching multiple sections of the same course are to consult with their Chair or Dean to ensure consistency with the course continuity plan.

Live or synchronous class sessions are to be held at the same time as the regularly scheduled class, while self-directed study options through asynchronous activities may proceed once communicated.

Upon a university closure announcement, colleges and departments are to inform students, interns, and residents of their expectations in fulfilling their regularly scheduled clinic obligations. This includes clinic rotations and individual patient care assignments. Students taking part in practicums, internships, student teaching, or other experiential learning should follow their participating organization's closing procedures.

For additional information, please refer to the [Weather or Other Short-Term Closings Frequently Asked Questions](#).

1.7 New courses and abolishment of courses

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

1.8 Instruction

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](#)

1.9 Providing accommodations to students

Every student is expected to participate in academically related activities and attend every class session for which the student is duly registered.

In accordance with Ohio law, instructors shall provide students with reasonable alternative accommodations with regard to examinations and other academic requirements with respect to students' sincerely held religious beliefs and practices by allowing up to three absences each semester for the student to attend or participate in religious activities. Instructors are expected to provide information about how absences will be managed to students during the first week of classes (both orally and within the syllabus). Faculty are expected to work with students to reasonably accommodate their religious obligations and observances. Examples of religious accommodations can include, but are not limited to, rescheduling an exam, altering the time of a student's presentation, allowing make-up assignments to substitute for missed class work, or flexibility in due dates or research responsibilities. If concerns arise about a requested accommodation, instructors are to consult their TIU head for assistance.

A student's request for time off shall be provided if the student's sincerely held religious belief or practice severely affects the student's ability to take an exam or meet an academic requirement and the student has notified their instructor, in writing during the first fourteen days (14) of the semester, of the date of each absence. The instructor is then responsible for scheduling an alternative time and date for the course requirement, which may be before or after the original time and date of the course requirement. It is the student's responsibility to ensure that all course assignments are completed.

Students who know they will require a religious accommodation, but who may not know the date of the religious observance, should ideally communicate with their instructors about this possible need at the start of the semester, although a later request, if feasible and agreed upon, should not bar the student from receiving the reasonable accommodations. Although students are required to provide notice within the first fourteen (14) days of the semester, instructors are strongly encouraged to work with the student to provide a reasonable accommodation if a request is made outside the notice period. A student may not be penalized for an absence approved under this policy.

Instructors shall not question the sincerity of a student's religious or spiritual belief system and shall keep requests for accommodations confidential. A statement with information about this policy, the general procedure to request accommodations, and contact information for a person to whom students can direct questions about the policy must be provided in each course syllabus.

An instructor shall include in each course syllabus the following statement:

It is Ohio State's formal expectation that instructors align with Ohio law to reasonably accommodate the sincerely held religious beliefs and practices of all students. Students are permitted to be absent for up to three days each academic semester for reasons of faith or religious or spiritual belief.

Students planning to use religious beliefs or practices accommodations for course requirements must inform the instructor in writing no later than 14 days after the semester begins. The instructor is then responsible for scheduling an alternative time and date for the course requirement, which may be before or after the original time and date of the course requirement. These alternative accommodations will remain confidential. It is the student's responsibility to ensure that all course assignments are completed. Students with concerns or complaints under the policy are strongly encouraged, but not required, to first discuss those concerns with their instructor and/or the TIU head. Students may also report their concerns or file a complaint with the Office of Institutional Equity via the [online reporting form](#), email at equity@osu.edu, or phone at 614-247-5838.

A non-exhaustive list of religious holidays is available on the [OAA website](#). Exclusion of a holiday or festival from the calendar or the non-exhaustive list may not be used to deny an accommodation. Instructors may contact the Testing Center in the office of the University Registrar for more information regarding the make-up exam policy. Faculty may use these calendars as a planning tool when determining dates for course requirements.

For assistance or questions about this policy, please contact the Office of Faculty Affairs at academicaffairs@osu.edu.

1.10 Use of self-authored material

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 and/or 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.

1.11 Graduate associates

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

2.0 College administration

2.1 Deans

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

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

Associate deans' duties may include considerable decision-making authority in academic areas such as research and 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/teaching/practice faculty members.

2.2.2 Assistant deans

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

The four regional campuses—Lima, Mansfield, Marion, and Newark—offer Associate of Arts degrees, Bachelors of Arts and Bachelors and Science degrees in selected areas, as well as undergraduate and graduate programs in selected areas (e.g., master of social work, master of arts in educational studies).

Courses and programs on these campuses must be approved by the relevant units on the Columbus campus. All courses and programs taught on the regional campuses are Ohio State courses and programs, 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

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

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

- 3335-3 Administration
- 3335-5 Faculty, Governance and Committees
- 3335-6 Tenure-track Faculty Appointments, Reappointments, and Promotion and Tenure
- 3335-7 Clinical/Teaching/Practice & Research Faculty Appointment, Reappointment and Non-reappointment, and Promotion

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

- 3335-8 Instruction
- 3335-9 Attendance and Graduation
- 3335-11 Student Affairs
- 3335-13 University Property
- 3335-15 Miscellaneous Provisions

5.1 Bylaws of the University Senate

3335-17 Election Bylaws of University Senate

3335-19 Bylaws of University Senate

5.2 Code of Student Conduct

3335-23 Code of Student Conduct

6.0 Faculty in memoriam resolutions

The BOT Office makes reasonable efforts to stay informed of deaths of active and emeritus faculty. When a death is noted (for example, 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

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 the latter 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.

- [Non-Discrimination, Harassment, and Sexual Misconduct Policy](#)
- 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 University [Employee Assistance Program](#), EAP (1-800-678-6265)
- Crisis Assessment Team ([CAT team](#))
- 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

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)

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. Additional information can be found in the [Privacy and Release of Student Education Records policy](#).

10.0 Immunity, indemnification, and representation

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 their actions.

Further information concerning the legal liabilities of faculty members, including TIU heads, may be obtained from [OLA](#).

11.0 Personal use of public property

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 [Outside Activities and Conflicts 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

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 routine public records requests and in most cases that person should be the TIU head. The TIU head or other person responsible for handling such requests may wish to immediately contact the Public Records unit in the Office of University Compliance and Integrity when they receive a records request that is other than routine (e.g., the request is from an attorney and/or involves legal issues; appears to be ambiguous or overly broad; or is worded in manner such that the office cannot identify the public records being requested).

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

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

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.