

OFFICE OF ACADEMIC AFFAIRS

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

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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, 8/15/22; 8/15/23

[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 and provides guidance about minimum content in a TIU's 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 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 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~~ ~~senior vice provost for faculty~~ encourages TIU heads to submit drafts of POAs to OAA for consultation and advice. Formal submissions, however, are to be submitted electronically to OAA by TIU heads or their dean (or designee) 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 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 [University Faculty Rules](#). It is inadvisable to quote rules extensively, given that such passages will not reflect later revisions ~~of the rules~~. 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.

TIUs must include at a minimum an introductory statement as well as sections on the mission; types of faculty appointments and their respective governance rights; organization of services and staff; overview of administration; description of faculty governance structure; guidelines governing faculty responsibilities and teaching assignments (including load and mode of instruction); guidelines governing allocation of 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.

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. Following the outline, details about what to include in particular sections are included.

In addition, there is a sample guideline POA document on the OAA website. To the extent possible, the sample guideline 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. TIU heads are strongly encouraged to follow the sample guideline POA, which is regularly updated. Any sections specifically required by OAA are so indicated in the guideline POA. Sections of red italicized text in the sample guideline 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. 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; 8/15/23

[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.

Because a common format is needed to facilitate reference to POA documents, the required outline (see Section 1.1.3 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).

Colleges must include at a minimum an introductory statement as well as sections on the mission; types of faculty appointments and their respective governance rights; organization of services and staff; overview of administration; description of faculty governance structure; guidelines governing faculty responsibilities and teaching assignments (including load and mode of instruction); guidelines governing allocation of 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 guidelines not included in the POA (e.g., appointment of associate chairs or directors; college expectations/practice when a faculty member requests a modification of duties; procedures for amending 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.

1.1 Required Suggested outlines

Revised: 06/22/12; 6/18/19; 5/15/20; 8/15/21, 8/15/22; 8/15/23

1.1.2. Required TIU POA Outline

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

Cover Page

Date reviewed by department (or school) and college (MM/DD/YYYY)

Date approved by OAA (added by OAA upon final approval)

Table of contents

- I. Introduction
- II. TIU 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 Services and Staff
- VI. Overview of TIU Decision-Making
- VII. TIU Administration
 - A. TIU Head
 - B. Other Administrators
 - C. Committees
- VIII. Faculty Meetings
- IX. Distribution of Faculty Duties, Responsibilities, and Workload
 - A. Guidelines on Teaching Assignments by Faculty Appointment Type
 - B. Special Assignments
 - C. Modification of Duties
 - D. Tenure-track Faculty
 - i. Special Assignments
 - E. Clinical/Teaching/Practice Faculty
 - F. Research Faculty
 - G. Associated Faculty
 - H. Modification of Duties
- X. Course Offerings, Teaching Schedules, and Grade Assignments

- XI. Allocation of TIU 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. Additional Compensation and Outside Activities
- XIV. Financial Conflicts of Interest
- XV. Grievance Procedures
 - A. Salary Grievances
 - B. Faculty Promotion and Tenure Appeals
 - C. Faculty and Staff Misconduct
 - D. Harassment, Discrimination, and Sexual Misconduct
 - E. Violations of Laws, Rules, Regulations, or Policies
 - F. Complaints by and about Students
 - G. Academic Misconduct

1.1.3. Required College POA Outline

Added: 8/15/23

Pattern of Administration for the College of XXX

Cover Page

Date reviewed by college (MM/DD/YYYY)

Date approved by OAA (added by OAA upon final approval)

Table of contents

- I. Introduction
- II. College Mission
- III. Academic Rights and Responsibilities
- IV. Faculty
 - A. Faculty Appointments
 - B. Voting Rights
 - C. College Distinguished Professor
 - D. Endowed Chairs and Endowed Professorships
- V. Organization of the College
- VI. Overview of College Administration and Decision-Making
- VII. College Administration
 - A. Dean
 - B. Other Administrators
 - C. Committees
 - 1. Promotion and Tenure Committee
 - 2. Investigations Committee
 - 3. Faculty Salary Appeals Committee
 - D. Centers
 - 1. Establishment of College Centers
 - 2. Review of College Centers
- VIII. Faculty Meetings
- IX. Distribution of Faculty Duties, Responsibilities, and Workload
 - A. Guidelines on Teaching Assignments by Faculty Appointment Type

- B. Special Assignments
- C. Guidelines for Determining FTE Exceptions of Faculty Appointments Policy
- D. Modification of Duties
- X. Course Offerings and Teaching Schedule
- XI. Allocation of 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. Additional Compensation and Outside Activities
- XIV. Financial Conflicts of Interest
- XV. Grievance Procedures
 - A. Salary Grievances
 - B. Faculty Promotion and Tenure Appeals
 - C. Faculty and Staff Misconduct
 - D. Harassment, Discrimination, and Sexual Misconduct
 - E. Violations of Laws, Rules, Regulations, or Policies
 - F. Complaints by and about Students
 - G. Academic Misconduct

1.2 Mission

Revised: 05/01/08; 8/15/23

Include the TIU's (or college's) academic mission. This statement must also appear in the TIU's (college'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.)~~

Within the TIU's (college's) academic mission statement:

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

As part of its mission, the unit should set the goal of increasing the quality of its endeavors. In addition, the unit should assure that its guidelines on faculty duties and responsibilities (see Volume 1, Chapter 2, Section 1.4.3: Duties and Responsibilities) included in its POA are consistent with its mission and its criteria for appointments, promotion, and tenure, and for merit salary increases and other rewards.

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

1.4.1 Appointments

Revised: 8/15/23

Describe who is considered a faculty member in the TIU and college 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.

1.4.2 Voting Rights

Revised: 8/15/23

TIUs with clinical/teaching/practice faculty are to define clinical/teaching/practice faculty, list their titles (see [Faculty Rule 3335-7-02](#)), state 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 may vote on clinical/teaching/practice faculty appointments, reappointments, and promotions and initial research faculty appointment decisions. Clinical/teaching/practice faculty may not participate in research faculty reappointment or promotion decisions (see [Faculty Rule 3335-7-11.D](#)).

TIUs with research faculty are to define research faculty, list their titles ~~they will be given~~ (see [Faculty Rule 3335-7-31](#)), state what governance rights will be extended, and state what appointment cap is in effect. ~~The TIU's tenure-track faculty may vote to allow~~ Research faculty may vote on research faculty appointments, reappointments, and promotion and the initial appointments of clinical/teaching/practice faculty. Research faculty may not participate in or vote on tenure-track promotion and tenure decisions or clinical/teaching/practice reappointment or promotion decisions (see [Faculty Rule 3335-7-37](#)). ~~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 (other than visiting faculty) may be given governance rights within the TIU. Associated faculty may not participate in the appointment, promotion and tenure reviews of tenure-track faculty, or in the appointment, reappointment, or promotion reviews of clinical/teaching/practice or research faculty.

Emeritus faculty may not be given voting rights but may be asked to consult with TIU committees.

1.4.3 College Distinguished Professors

Added: 8/15/23

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

1.4.4 Endowed Chairs and Endowed Professorships

Added: 8/15/23

Colleges must have written guidelines regarding endowed positions. Endowed faculty guidelines must include, at a minimum, a description of the impact of endowed positions for the academic unit, a general description of criteria and process for appointment and reappointment and a general expectation of participating in stewardship of donors. Guidelines could also address appointment letters, use of funds, scholarly expectations and specific stewardship expectations. See [Endowed Faculty Positions](#) for more information.

1.5 Organization of services and staff

Revised: 08/26/04; 8/15/21; 8/15/23

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.

For colleges, this section is called "Organization of the College" and is used to list the TIUs. It is required in college POAs.

1.6 Overview of decision-making

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

Edited: 08/01/07

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

1.6.1 TIU Head/College Dean

Revised: 05/01/08; 8/15/21; 8/15/22; 8/15/23

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 (see [Faculty Rule 3335-3-29](#)). A college's process for TIU head selection and review should be described.

1.6.2 Committees

Revised: 01/01/11; 6/18/19; 5/14/20; 8/15/21; 8/15/23

TIUs should 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 (e.g., graduate admissions and recruitment, graduate studies), and a standing committee that provides administrative service for promotion and tenure reviews. Many TIUs also have a standing diversity, equity, and inclusion committee, and a faculty awards committee that can be used to identify internal and external awards for which their faculty may be nominated. 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 book selection, honors, salary, space, subfields, and technology.

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 faculty 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. **Colleges must also have a Promotion and Tenure Committee.**

Examples of committees found in colleges across the university include committees on budget, curriculum, diversity, faculty development, graduate education, honors and scholars (to support internal and external faculty award nominations), 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; 8/15/23

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, distributed, and maintained. 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 3335-5-16 requires that college faculty will meet upon call of the dean or in accordance with the college POA. Faculty Rule 3335-5-18 requires that TIU faculty meet upon call of the TIU head or dean or in accordance with the TIU POA. In any case, faculty must meet at least once each semester of the academic year.

1.8 Distribution of faculty duties, responsibilities, and workload

Revised: 05/26/18; 6/18/19; 8/15/23

OAA requires that every college, department, school, and regional campus have guidelines on the distribution of faculty duties, responsibilities, and workload for tenure-track, clinical/teaching/practice, research, and associated faculty. 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, responsibilities, and workload, including TIU expectations regarding faculty office hours. Every member of the faculty who is assigned instruction is expected to establish and maintain regular office hours in order to be readily available to students.

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

Describe any TIU guidelines that supplement college guidelines and university policies with respect to conflicts of commitment and direct the reader to the [Outside Activities and Conflicts 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 Faculty fellows

Added: 8/15/22; 8/15/23

A faculty fellow appointment releases a faculty member from 50% or more some portion of their regular duties (as specified in an MOU or letter of offer) for in-depth, time-limited administrative and/or other leadership projects in university support units or colleges. Colleges and administrative units that wish to appoint or sponsor faculty fellow appointments must establish procedures for soliciting nominations and for administering a fellow program. These units may also establish named faculty fellow appointments in support of particular programs and initiatives.

1.8.2.1 Purpose

A faculty fellow appointment is used to assist administrative units and colleges with specific, focused projects. It can also be used to support succession planning within units and as a professional development opportunity for later-career faculty who are interested in pursuing leadership positions within the university. A faculty fellow appointment should not be used in lieu of a Special Assignment.

1.8.2.2 Required approvals

On the Columbus campus, approvals are required from the academic or administrative appointing unit, the TIU head, the college dean, and OAA.

On the regional campuses, approvals are required from the academic or administrative appointing unit, the TIU head, the regional campus dean/director, and OAA. **The Columbus campus dean shall be made aware of all such appointments.**

Approval of a faculty fellow appointment is contingent on units having sufficient faculty available at all times to meet obligations to students and other constituencies and to conduct regular business. Before accepting an appointment, faculty fellows must agree with their TIU heads on the terms of the appointment and, if the appointment is not full-time, on assigned duties within the TIU.

1.8.2.3 Timing

A faculty fellow appointment is normally granted for part or all of the 9-month academic year (August–May), but faculty on 12-month appointments may be granted a faculty fellow appointment for the full year, and faculty on 9-month appointments may be appointed for projects in the summer. Examples include 50% appointment for a year, 100% appointment for a semester, and 75% for a year.

1.8.2.4 Compensation

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

Compensation can include summer funding, not to exceed 2/9ths of the base salary, for a 9-month faculty member when a 12-month fellow appointment is offered.

1.8.3 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 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.

1.8.4 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 employee's immediate family member being on covered active duty in a foreign country or being 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](#).

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; 8/15/22

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 \(LOA\)](#)

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 Additional compensation and outside activities

Revised: 06/26/18; 5/15/20; 8/15/21; 8/15/22; 8/15/23

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

The [Faculty Compensation Policy](#) University policies represent defines the 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 [Outside Activities and Conflicts Policy](#). For purposes of the [Outside Activities and Conflicts 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 an outside activity is at the discretion of the TIU head and dean and will be denied should a conflict of interest or commitment exist ([Outside Activities and Conflicts Policy](#)). The TIU/college POA is to include additional guidelines for when an outside activity will not be approved.

Faculty with an administrative position (e.g., Dean, TIU Head, Associate and Assistant Deans, Center Directors) remain subject to the [Outside Activities and Conflicts Policy](#) and, with approval, are permitted to engage in paid outside 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 [Outside Activities and Conflicts Policy](#).

1.14 Grievance procedures

Revised: 01/01/11; 8/15/21; 8/15/23

Describe the TIU's **and college's** mechanisms 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:

- [Affirmative Action and Equal Employment Opportunity](#)
- [Non-Discrimination, Harassment, and 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 appeal 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](#)
 - Professional student honor code (if applicable)
 - Initiation, inquiry, and investigation of code violations ([Code of Student Conduct 3335-23-05](#))

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; 8/15/23

[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, promotion, and compensation 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 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. 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 senior vice provost for faculty ~~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.

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).

A guideline 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 content in the guideline APT Document whenever possible, OAA acknowledges that wholesale adoption of the guideline document 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.

Units are to refer to and be consistent with the University Faculty Rules. 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 within the citation to comply with accessibility guidelines. 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 the 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 current 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 [guideline 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 [guideline APT Document](#) whenever possible, OAA acknowledges that wholesale adoption of the sample [guideline document](#) 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 **red** italicized text in the [guideline sample](#) document are notes and comments and should not appear in a TIU's APT Document.

Colleges should refer to the College APT Guideline [Sample Document](#), as there are substantial differences between the departmental template and the college template. Colleges that are TIUs will also need to consult the TIU-level APT Guideline Document.

2.0.2 College APT Documents

Revised: 08/01/14; 5/15/20; 8/15/21; 8/15/23

[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 one year from the date they are appointed or reappointed. If a dean wishes to reaffirm the APT, it must 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 OAA and should be submitted electronically. 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.

A college APT must include the following language about the faculty hiring process in Section IV.B.1 (see required outline below). This language must then be referred to in Section IV.B.1 (see required TIU APT outline below) within the APT document of each of the college's TIUs.

Prior to any search, members of all search committees must undergo the trainings identified in the [SHIFT](#) Framework for faculty recruitment. In addition, all employees/faculty involved in the hiring and selection process must review and acknowledge the AA/EEO Recruitment and Selection Guidelines in the BuckeyeLearn system.

The [SHIFT](#) Framework will serve as a centrally coordinated guideline and toolkit to support the entire process of faculty recruitment with clear engagement from all participating stakeholders involved in the faculty hiring process. This framework is intended to provide faculty engaged in search committees and staff providing support services with the tools and support needed to attract excellent and diverse applicant pools, conduct consistent and equitable evaluations, and successfully hire and properly onboard new faculty members who will continue our tradition of academic excellence. This framework consists of six phases, each targeting a specific stage of the recruitment process:

- “Phase 1 | Search Preparation & Proactive Recruitment” is the earliest stage in the search process. Key steps during this phase include determining faculty needs for the unit, creating a search strategy (including timeline), establishing a budget, and identifying additional partners to include in the process. The steps in this phase provide guidance on forming committees, detail training requirements for search committee members, and innovative approaches to advertising and outreach. This section also includes ideas and resources for developing qualified, diverse talent pools to ensure alignment with university and unit AA/EEO goals and advance the eminence of the institution.
- “Phase 2 | Preliminary Review of Applicants” focuses on best practices for the application review and candidate screening processes. The guidelines and resources in this section support consistency, fairness, and equity in the review, assessment,

and selection of candidates moving forward in the recruitment process. This section also outlines how to select a list of candidates for on-campus interviews.

- “Phase 3 | Finalists Interviews & Evaluations” provides guidance and tools for conducting interviews and campus visits, requesting reference letters (if not requested earlier in the application stage), and collecting feedback from everyone who interacted with the candidates. Adherence to the guidelines outlined in this section has a direct impact on enhancing the candidate experience and ensuring a consistent evaluation process. This phase concludes with the submission of a letter from the search committee to the TIU chair/director.
- “Phase 4 | Extend Offer” provides guidance and resources related to effectively selecting the most qualified candidate(s) for the position(s) and successfully negotiating to result in an accepted offer.
- “Phase 5 | Preboard and Onboard” offers resources to help prepare and support new faculty as they transition to Ohio State. The suggestions in this phase focus on creating a seamless transition for incoming faculty and their partners/families, if applicable.
- “Phase 6 | Reflect and Assess the Search” is a process supported by OAA to reflect on the hiring cycle each year and evaluate areas that may need improvement and additional support.

2.0.2.1 Required College APT Outline

Added 8/15/23

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

Cover Page

I. Preamble

II. College Mission

III. Definitions

A. Committee of the Eligible Faculty within Each TIU of the College

1. Tenure-track faculty
2. Clinical/Teaching/Practice faculty (if applicable)
3. Research faculty (if applicable)
4. Associated faculty
5. Conflict of interest
6. Minimum composition

B. College Promotion and Tenure Committee

C. Quorum

D. Recommendation from a TIU’s Committee of the Eligible Faculty

1. Appointment
2. Reappointment, promotion and tenure, and promotion

IV. Appointments

A. Criteria

1. Tenure-track faculty
2. Clinical/Teaching/Professional Practice faculty (if applicable)
3. Research faculty (if applicable)
4. Associated faculty
5. Regional campus faculty (if applicable)
6. Emeritus faculty
7. Courtesy appointments for faculty

B. Procedures

1. Tenure-track faculty on the Columbus campus (see required language for this section in Section 2.0.2 above)
2. Clinical/Teaching/Professional Practice faculty on the Columbus campus (if applicable)
3. Research faculty on the Columbus campus (if applicable)
4. Transfer from the tenure track
5. Associated faculty on the Columbus campus
6. Regional campus faculty (if applicable)
7. Courtesy appointments for faculty

V. Annual Performance and Merit Review Procedures

A. Documentation

B. Probationary tenure-track faculty on the Columbus campus

1. Fourth-Year Review
2. Extension of the tenure clock (exclusion of time from probationary period)

C. Tenured faculty on the Columbus campus

D. Clinical/Teaching/Practice faculty on the Columbus campus (if applicable)

E. Research faculty on the Columbus campus (if applicable)

F. Associated faculty on the Columbus campus

G. Regional campus faculty (if applicable)

H. Salary recommendations

VI. Promotion and Tenure and Promotion reviews

A. Criteria

1. Promotion to associate professor with tenure
2. Promotion to associate professor without tenure (clinical departments in Medicine only)
3. Promotion to professor
4. Clinical/Teaching/Practice faculty (if applicable)
5. Research faculty (if applicable)
6. Associated faculty
7. Regional campus faculty (if applicable)

B. Procedures

1. Tenure-track, Clinical/Teaching/Professional Practice, and Research faculty on the Columbus campus (as applicable)
 - a. Candidate responsibilities
 - b. TIU eligible faculty responsibilities
 - c. TIU heads' responsibilities
 - d. College promotion and tenure committee responsibilities
 - e. Dean's responsibilities
2. Procedures for associated faculty on the Columbus campus
3. Procedures for regional campus faculty (if applicable)
4. External evaluations

VII. Promotion and Tenure and Reappointment Appeals

VIII. Seventh-Year Reviews

IX. Procedures for Student and Peer Evaluation of Teaching

- A. Student evaluation of teaching
- B. Peer evaluation of teaching

2.1 Preliminary information

Revised: 01/01/11

2.1.1 Required TIU APT outline

Revised: 06/25/18; 6/18/19; 5/15/20; 8/15/23

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.

~~Colleges should refer to the College APT Guideline Sample Document, as there are substantial differences between the departmental template and the college template. Colleges that are TIUs will also need to consult the TIU-level APT Guideline Document.~~

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

Cover Page

- I. Preamble
- II. Department Mission
- III. Definitions
 - A. Committee of the Eligible Faculty
 1. Tenure-track faculty
 2. Clinical/Teaching/Practice faculty (if applicable)
 3. Research faculty (if applicable)
 4. Associated faculty
 5. Conflict of interest

6. Minimum composition
 - B. Promotion and Tenure Committee (if composition differs from the Committee of Eligible Faculty)
 - C. Quorum
 - D. Recommendation from the Committee of the Eligible Faculty
 1. Appointment
 2. Reappointment, promotion and tenure, and promotion ~~and contract renewal~~
- IV. Appointments
- A. Criteria
 1. Tenure-track faculty
 2. Clinical/teaching/practice faculty (if applicable)
 3. Research faculty (if applicable)
 4. Associated faculty
 5. Regional campus faculty (if applicable)
 6. Emeritus faculty
 7. Courtesy appointments for faculty
 - B. Procedures
 1. Tenure-track faculty on the Columbus campus
 2. Clinical/teaching/practice faculty on the Columbus campus (if applicable)
 3. Research faculty on the Columbus campus (if applicable)
 4. Transfer from the tenure track
 5. Associated faculty on the Columbus campus
 6. Regional campus faculty (if applicable)
 7. Courtesy appointments for faculty
- V. Annual Performance and Merit Review
- A. Documentation
 - B. Probationary tenure-track faculty on the Columbus campus
 1. Fourth-Year Review
 2. ~~Extension of the tenure clock~~ (exclusion of time from probationary period)
 - C. Tenured faculty on the Columbus campus
 - D. Clinical/Teaching/Practice faculty on the Columbus campus (if applicable)
 - E. Research faculty on the Columbus campus (if applicable)
 - F. Associated faculty on the Columbus campus
 - G. Regional campus faculty (if applicable)
 - H. Salary recommendations
- VI. Promotion and Tenure and Promotion reviews

- A. Criteria and **Documentation Evidence** that Support Promotion
 - 1. Promotion to associate professor with tenure
 - 2. Promotion to associate professor without tenure (clinical departments in Medicine only)
 - 3. Promotion to professor
 - 4. Clinical/Teaching/Practice faculty (if applicable)
 - 5. Research faculty (if applicable)
 - 6. Associated faculty
 - 7. Regional campus faculty (if applicable)
- B. Procedures
 - 1. Tenure-track, Clinical/Teaching/Practice, and Research faculty (as applicable)
 - a. Candidate responsibilities
 - b. Promotion and tenure committee responsibilities (if separate from the eligible faculty)
 - c. Eligible faculty responsibilities
 - d. TIU head responsibilities
 - 2. Procedures for associated faculty on the Columbus campus
 - 3. Procedures for regional campus faculty (if applicable)
 - 4. External evaluations
 - a. **Peer and Near Peer Institutions**

VII. Promotion and Tenure and Reappointment Appeals

VIII. Seventh-Year Reviews

IX. Procedures for Student and Peer Evaluation of Teaching

A. Student evaluation of teaching

B. Peer evaluation of teaching

2.1.2 Preamble

Revised: 03/25/05

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

2.1.3 Mission

Revised: 03/25/05; 8/15/23

Include the TIU's (or college's) academic mission. This statement must also appear in the TIU's (or college's) POA document. This is the only example of duplicated material in the two documents; the language must be identical in both. (See Section 1.2: Mission, for full information on the mission statement.)

~~Within the TIU's academic mission statement:~~

- ~~identify the audiences of the unit's teaching, research and creative activity, engagement, and service;~~

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

This same 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, 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; 8/15/23

[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) are not considered for quorum unless they declare, in advance and in writing, 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\(A\)](#)) or the promotion or reappointment reviews for research faculty. ~~The TIU's tenure track faculty may vote to include~~ Clinical/teaching/practice faculty may vote in the appointment, reappointment, and promotion reviews of clinical/teaching/practice faculty and the initial appointment of research faculty.

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

Associated faculty may not participate in the appointment, promotion, or 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. Advanced-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).

Prior to the start of a review process, all eligible faculty must be asked to indicate any conflicts to the committee of eligible faculty chair, the Procedures Oversight Designee (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 POD, shall determine whether it is appropriate for the faculty members to recuse themselves from a particular review. Based on that determination, faculty members with a conflict of interest who do not voluntarily recuse themselves will be removed by the TIU head. **The guideline APT document has sample language that units can consider.**

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. 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 of 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; 8/15/23

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 may determine how the committee chair is selected, whether by appointment or election. The chair of this committee may also chair the committee of the eligible faculty. The committee's membership and term of service should be indicated.

Colleges (with departments/schools) must have a P&T committee that conducts an independent assessment about how accurately the TIU deliberative body and TIU head followed stated TIU processes. The college may determine how the committee chair is selected, whether by appointment or election. 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; 8/15/23

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).

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 the case of appointments, promotion, tenure, and reappointment votes, the Office of Academic Affairs strongly encourages TIUs and colleges to exclude abstentions as an option. If a member of the committee of eligible faculty feels they cannot vote for or against a candidate, they should not participate in the discussion and vote. If they are abstaining due to a believed conflict of interest, they should not participate in the discussion or vote.

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).

Quorum	25% Present	Majority Present	2/3 Present
# to attain quorum	25	51	67
Majority	11 (11 Y, 9 N, 5 A)	24 (24 Y, 22 N, 5 A)	32 (32 Y, 30 N, 5 A)
2/3 Vote	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 TIU's 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 the TIU 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 a 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 Appointments 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 **current** curriculum vitae for all faculty members, including associated faculty members, must be kept in each TIU. The collection of these documents is the responsibility of the TIU head or designee.

2.3.1.1 Tenure-track faculty

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

This section first establishes 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 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 first establishes 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.

Titles for clinical/teaching/practice faculty are found in [Faculty Rule 3335-7-02](#).

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 first establishes 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; 8/15/23

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, clinical/teaching/practice, or research ranks, as appropriate to the appointment. 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.

Information about associated faculty can be found in [Faculty Rule 3335-5-19](#).

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 creative activity, 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 creative activity, 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 and creative activity.

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/director for associated faculty on regional campuses) outlining academic performance and citizenship. The committee of eligible faculty will review the application and make a recommendation to the TIU head. The committee of eligible faculty for tenured faculty consists of tenured associate professors and professors. The committee of eligible faculty for all other faculty titles consists of tenured associate professors and professor and non-probationary clinical/teaching/practice associate professors and professors if they have been granted the right to vote on personnel matters in their unit. The TIU head will decide upon the request, and if appropriate submit it to the dean. Should the TIU head deny the request, the faculty member may appeal the decision 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 free of charge (application provided by the BOT).
- Emeritus permanent university ID card permitting library privileges.
- Continuing use of OSU email account (requested by calling the Office of Technology and Digital Innovation'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 technology 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; 8/15/23

The appointment of all compensated tenure-track, clinical/teaching/professional practice, research, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT Framework](#) for faculty recruitment. All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. Formal interviews are required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](#) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

2.3.2.1 Tenure-track faculty on the Columbus campus

Revised: 06/25/18; 5/15/20; 8/15/21; 8/15/23

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](#).

Searches for tenure-track faculty proceed according to the process identified in the college guideline [Appointments, Promotion, and Tenure document](#), Section IV.B.1.

In accordance with the unit's equal opportunity and affirmative action plan, 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 and equal employment opportunity](#) 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 advanced rank (associate professor, professor) require prior approval by the college dean and OAA.

Pre-tenure appointments with prior service credit require prior approval by the college dean and OAA.

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

An [MOU](#) must be signed by faculty eligible for tenured positions who are not U.S. citizens or nationals, permanent residents, asylees, or refugees.

2.3.2.2 Clinical/teaching/practice faculty on the Columbus campus

Revised: 06/15/10; 6/18/19; 8/15/23

If the unit is authorized to have clinical/teaching/practice faculty (see Volume 1, Chapter 2), 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 advanced rank require prior approval by the college dean and OAA.

2.3.2.3 Research faculty on the Columbus campus

Revised: 06/15/10

If the unit ~~is authorized has voted~~ to have research faculty (see Volume 1, Chapter 2), 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 advanced 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 OAA.

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

2.3.2.5 Associated faculty on the Columbus campus

Revised: 06/15/10

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

Initial appointments at advanced 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 it 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; 8/15/23

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 review of faculty with budgeted joint appointments must include input from the joint appointment TIU head for every annual evaluation cycle. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on goals specific to the individual in the joint unit.

The means for carrying out the review will vary according to the traditions of the various fields within the unit. [A sample template](#) is provided by OAA.

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 on the Columbus campus

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 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 Extension of the tenure clock (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 extend the probationary period. See also Volume 1, Chapter 2, Section 1.4.5, for additional OAA guidelines.

2.4.3 Guidelines

Revised: 03/25/05; 8/15/23

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

2.4.3 Tenured faculty on the Columbus campus

Revised: 03/25/05

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

2.4.4 Clinical/teaching/practice faculty on the Columbus campus

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 on the Columbus campus

Revised: 03/25/05

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

2.4.4 Associated faculty on the Columbus campus

Revised: 03/25/05

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

2.4.5 Regional campus faculty

Revised: 03/25/05; 8/15/21; 8/15/23

Regional campus tenure-track faculty are first reviewed by the regional campus faculty according to the process established on that campus, with the review focusing on teaching and service. and then by the regional campus dean/director. The regional campus review. Following the review by the regional campus, the regional campus dean/director meets with the TIU head for each regional campus faculty member for evaluation of the faculty member's research and creative activity during the review period. The regional campus dean/director provides an annual review letter, 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, with the review focusing on teaching and service. 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.

Regional campus associated faculty are reviewed according to the process established on that campus, with the review focusing on teaching and service, if applicable. 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.

2.4.6 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 evidence that support promotion

Revised: 05/05/16; 5/15/20; 8/15/21; 8/15/23

Include general statements about the quality of performance in teaching, research and creative activity, and service expected for promotion and tenure or promotion. Teaching, research and creative activity, and service are not in themselves criteria, nor are teaching evaluations or publications. A list of the criteria and evidence to be examined belongs under "Documentation" must be included (see Section 2.5.1.3: Documentation Criteria and Evidence) 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 (see Volume 3 for guidance). 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 creative activity, 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 or promotion reviews independent of teaching, research and creative activity, 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 creative activity, and service in promotion and tenure or promotion 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 Criteria and Evidence

Revised 07/15/19; 8/15/23

Describe in detail the specific criteria and the documentation evidence that will be examined in assessing whether promotion and/or tenure is merited. Criteria and documentation evidence 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 only the stated items. Appendix A in the [Sample Appointments, Promotion, and Tenure document](#) provides examples of criteria and documentation evidence that units may elect to use, or which may serve as guidelines for units developing their own criteria and documentation evidence.

Units may weigh forms of **documentation evidence** 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; 8/15/23

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 **must should** describe the specific ways in which the quality of these works will be assessed.

External evaluations of scholarship are required. Units **must 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; 8/15/23

Activities generally considered to be service include:

- administrative work for the TIU, college, **campus**, 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.

Candidates who engage in community-engaged scholarship should include that work in the appropriate teaching, research, and creative activities sections. Additionally, there may be components of their community-engaged scholarship that is appropriate for the service section, however there should not be duplicate entries.

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 clinical 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 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 Clinical/teaching/practice faculty

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

Because clinical/teaching/practice faculty (see [Faculty Rule 3335-7-02](#) for correct titles) 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 of practice and clinical professor of practice; and to senior lecturer. Criteria will vary, depending on the nature of the appointment.

2.5.1.12 Regional campus faculty

Revised: 03/25/05

In evaluating tenure-track faculty on the regional campuses for promotion and tenure or promotion, the TIU will use the criteria described above in Sections 2.5.1.4, 2.5.1.5, and 2.5.1.6 but will give greater emphasis to the quantity of a candidate's teaching and service relative to scholarship and creative activity. Units with regional campus faculty must state the criteria for their promotion within this guideline. Moreover, 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.
- Tenure-track faculty on the regional campuses 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 on the Columbus campus

Revised: 03/25/05; 07/15/19; 8/15/21; 8/15/23

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 nonprobationary tenured faculty member who asks to be reviewed for a promotion in rank cannot be denied consideration for promotion for more than one year. Faculty Rules [3335-6-04](#), [3335-7-08](#), and [3335-7-36](#) provide that a tenured or nonprobationary clinical/teaching/practice or research faculty member who asks to be reviewed for a promotion in rank cannot be denied consideration for promotion more than once. 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. **A probationary clinical/teaching/practice or research faculty member may be denied a non-mandatory review each year up to the year of reappointment.**

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 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 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 indicate the APT document under which they wish to be reviewed. If the APT document is not the one currently approved by OAA, candidates must submit a copy of the APT under which they wish to be reviewed. A candidate may be reviewed using their TIU's current APT document, or 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 or reappointment (for clinical/teaching/practice and research faculty), whichever of these two latter documents is the more recent. However, for tenure-track faculty 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.

2.5.2.1.3 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.

For tenure-track assistant professors, TIU heads are to confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an [MOU](#) at the time of promotion with tenure.

2.5.3 Procedures for associated faculty on the Columbus campus

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 TIU. 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; 8/15/23

The responsibilities of regional campus candidates are the same as those of a Columbus campus candidate (see section 2.5.2 above).

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 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; 8/15/23

Include a set of peer and aspirational peer institutions (5–10 in each category) the TIU aligns with and from which it should be seeking external review letters. TIUs should seek external evaluations predominately from evaluators in those programs. Justification will be provided in each case when a suggested evaluator is from a program not included on these lists. Describe how a slate of potential evaluators is determined. State who is responsible for contacting the evaluators and indicate 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 the [Policies and Procedures Handbook](#), 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 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 reviews

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 the [Policies and Procedures Handbook](#), 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; 8/15/23

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 the [Policies and Procedures Handbook](#), 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.

Faculty on the regional campuses are to follow their campus expectations for peer evaluation that are articulated in the regional campus APT document.

3.0 Updating obsolete material in TIU governance documents

Revised: 06/15/15; 6/18/19; 8/15/22

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. Units are asked to pay special attention to Faculty Rule [3335-7-02](#), where clinical/teaching/practice titles recently have been updated.

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](#) 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 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.

The [Faculty Recruitment and Selection Policy](#) has been revised removing permanent residency within the U.S. as a requirement to obtain tenure at the university.