APPOINTMENT, PROMOTION, AND TENURE
CRITERIA AND PROCEDURES

for the

DEPARTMENT OF ANIMAL SCIENCES

THE OHIO STATE UNIVERSITY

1 November 2008

Appendix:

Faculty Reward System Guidelines for Annual Performance Review, Promotion and Tenure

College of Food, Agricultural, and Environmental Sciences
The Ohio State University

Approved by The Ohio State University Office of Academic Affairs
August 29, 2009
I. Table of Contents

II. PREAMBLE............................................................................................................................................ 2
III DEPARTMENTAL MISSION AND VISION .............................................................................................. 3
IV APPOINTMENTS .................................................................................................................................. 3
   A. Criteria .................................................................................................................................................. 3
      4.A.1 Regular tenure-track faculty ....................................................................................................... 3
      4.A.2 Regular research track faculty .................................................................................................... 4
      4.A.3 Auxiliary faculty .............................................................................................................................. 5
      4.A.4 Courtesy appointments for regular faculty ..................................................................................... 5
      4.A.5 Emeritus faculty ............................................................................................................................. 6
   B. Procedure ............................................................................................................................................. 6
      4.B.1 Regular tenure-track faculty ....................................................................................................... 6
      4.B.2 Regular research track faculty .................................................................................................... 7
      4.B.3 Auxiliary faculty .............................................................................................................................. 8
      4.B.4 Courtesy appointments .................................................................................................................. 9
      4.B.5 Emeritus faculty members ........................................................................................................... 10
V ANNUAL REVIEW PROCEDURES .......................................................................................................... 10
   A. Procedures: Probationary Tenure-Track Faculty .................................................................................. 10
   B. Procedures: Tenured Faculty Members ................................................................................................. 14
   C. Procedure: Regular research track faculty ........................................................................................... 14
VI MERIT SALARY INCREASES & OTHER REWARDS ................................................................................. 15
   A. Procedures: Salary Decisions ................................................................................................................ 15
   B. Procedures: Salary Decisions ................................................................................................................ 15
   C. Documentation: Salary Decisions ......................................................................................................... 15
VII PROMOTION AND TENURE AND PROMOTION REVIEWS ..................................................................... 16
   A. Criteria .................................................................................................................................................. 17
      7.A.1 Criteria: Promotion to associate professor with tenure ................................................................. 17
      7.A.2 Criteria: Promotion to professor .................................................................................................... 18
      7.A.3 Criteria: Promotion of regular research track faculty ................................................................. 18
   B. Procedures ............................................................................................................................................. 18
      7.B.1 Procedures: Regular tenure-track faculty ...................................................................................... 18
      7.B.2 Procedures: Regular research track faculty .................................................................................. 23
   C. Documentation ..................................................................................................................................... 24
      7.C.1 Teaching ....................................................................................................................................... 25
         7.C.1.1 Teaching on university campuses ............................................................................................ 25
         7.C.1.2 Outreach education .................................................................................................................. 26
      7.C.2 Scholarship .................................................................................................................................. 27
         7.C.2.1 Publications .............................................................................................................................. 27
         7.C.2.2 Research grant proposals submitted and/or funded ................................................................. 28
      7.C.3 Service ......................................................................................................................................... 28
         7.C.3.1 Definition of service ................................................................................................................ 28
         7.C.3.2 Service Categories .................................................................................................................. 28
VIII APPEALS ............................................................................................................................................. 29
IX SEVENTH YEAR REVIEW ........................................................................................................................ 30
II. PREAMBLE

This document is a supplement to Chapters 3, 5 and 6 of the Administrative Code regarding the Rules of the University Faculty (www.trustees.osu.edu/ChapIndex/index.php as of June 1, 2007), the office of academic affairs Policies and Procedures Handbook (www.oaa.osu.edu/handbook/ as of August 2007), and additional policies established by the College of Food, Agricultural, & Environmental Sciences and The Ohio State University. Should those rules and policies change, the Department of Animal Sciences shall follow those new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on appointment or reappointment of the department chair.

This document must be approved by the dean of the college and the provost of the university before it can be implemented. It sets forth the Department of Animal Sciences' mission and in the context of that mission and the missions of the college and university, its criteria and procedures for faculty member appointments, and its criteria and procedures for faculty promotion, tenure, and rewards including salary increases. In approving this document the dean and provost accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating continuing faculty members and candidates for positions in relation to its mission and criteria.

The departmental faculty members and the administration are bound by the principles articulated in the Administrative Code, rule 3335-06-01 (http://trustees.osu.edu/rules6/ru6-01.php):

(A) Peer review provides the foundation for decisions regarding faculty member appointment, reappointment, and promotion and tenure (except when the provisions of paragraph (H) of rule 3335-6-03 of the Administrative Code are invoked). Peers are those faculty members who can be expected to be most knowledgeable regarding an individual's qualifications and performance-normally tenure-initiating unit colleagues. Because of the centrality of peer review to these review processes, faculty vested with responsibility for providing peer review have an obligation to participate fully and knowledgeably in review processes, to exercise the standards established in faculty rule 3335-6-02 of the Administrative Code and other standards specific to the academic unit and discipline, and to make negative recommendations when these are warranted to maintain and improve the quality of the faculty. Recommendations by the faculty vested with the responsibility for providing peer review will be accepted unless they are not supported by the evidence presented regarding how the candidate meets the standards established in faculty rule 3335-6-02 of the Administrative Code and other standards specific to the academic unit and discipline. When, for the reasons just stated, a decision regarding faculty member appointment, reappointment, or promotion and tenure differs from the recommendation of the faculty, the administrator or body making that decision will communicate in writing to the faculty body that made the recommendation the reasons that the recommendation was judged not to be supported by the evidence.
In accordance with a policy of equality of opportunity, decisions concerning appointment, reappointment, and promotion and tenure shall be free of discrimination as to race, creed, religion, national origin, age, sex, disability, Vietnam-era veteran status, or sexual orientation.

III. DEPARTMENTAL MISSION AND VISION

The mission of the Department of Animal Sciences is to discover and communicate knowledge about animals (including microbes) and their products. The delivery of this mission is directed to the students of The Ohio State University, the citizens of Ohio and other parts of the world, the scientific community, stakeholders of the department, and others who are interested in animals used for food and fiber production, recreation, and companion purposes, and in conversion of biomass to energy.

The vision of the department follows four axes of excellence: (1) to be recognized as the premier provider in Ohio, and one of the top academic units in the nation, for an undergraduate education in animal sciences; (2) to be identified nationally and internationally as one of the most outstanding academic units for a graduate education in animal sciences; (3) to have a reputation in the State, nationally, and internationally for being a leader in developing new knowledge in the biological sciences for food producing animals, horses, and microbes related to anaerobic fermentation, animal health and food safety, and dissemination of this knowledge to the scientific community and the public; and (4) to facilitate the development of students who will be prepared to become leaders and effective citizens, and be knowledgeable about our world and the production of animals for food, fiber, recreation, companion purposes, and energy through conversion of biomass to energy.

IV. APPOINTMENTS

The department is committed to making only faculty member appointments that enhance or have strong potential to enhance the quality of the department. The department fully endorses the university stated mission to seek "the attainment of international distinction in education, scholarship, and public service." The department, as a tenuring unit, also endorses rule 3335-6-02 (A) of the Administrative Code (http://trustees.osu.edu/rules6/ru6-02.php) stating:

Each tenure-initiating unit is responsible for establishing criteria for appointment, reappointment, and promotion and tenure that are consistent with this mission and for ensuring that every faculty member appointment, reappointment, and promotion and tenure recommendation is consistent with this mission.

A. Criteria

4.A.1. Regular tenure-track faculty

Regular tenure-track faculty members of the Department of Animal Sciences shall include all regular tenure-track faculty members with the titles of professor, associate professor, assistant professor and instructor who serve on appointments totaling 50 percent or more of service to the department. Members of the regular faculty generally

Approved by the Office of Academic Affairs
08/26/09
have a full range of responsibilities to the department, including teaching; research, outreach engagement, and other creative professional work; service to the department, college and university; and public service to their academic expertise. The department endorses the university expectations that:

Appointment decisions for regular faculty positions, as defined in rule 3335-5-19 of the Administrative Code, must be based on criteria that reflect strong potential to attain tenure and advance through the faculty ranks. A minimum requirement for appointment at or promotion to the rank of assistant professor or a higher rank is an earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience. Appointments at the rank of instructor should normally only be made when the offered appointment is that of assistant professor but the appointee has not completed the required terminal degree at the onset of the appointment. (Administrative Code, rule 3335-6-02 (A), http://trustees.osu.edu/rules6/ru6-02.php)

With each rank, there will be allowable probationary periods that are pertinent to each appointment. These probationary periods will follow rule 3335-6-03 (B) (1) of the Administrative Code (http://trustees.osu.edu/rules6/ru6-03.php) where:

An appointment as professor or associate professor will generally entail tenure. However, a probationary period not to exceed four years may be granted by the office of academic affairs upon petition of the tenure-initiating unit and college. For the petition to be approved, a compelling rationale must be provided regarding why appointment at a senior rank is appropriate but tenure is not. All appointments to the rank of associate professor or professor require prior approval of the executive vice president and provost.

An appointment to the rank of instructor is always probationary and may not exceed three years. An instructor must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year. When an instructor is promoted to the rank of assistant professor, prior service credit will be granted for time spent as an instructor unless the faculty member indicates in writing at the time of the promotion that he or she does not wish such credit. This written request must be forwarded to the office of academic affairs through the dean of the college so that tenure records may be adjusted accordingly.

An appointment to the rank of assistant professor is always probationary and may not exceed six years, including prior service credit. An assistant professor is reviewed for promotion and tenure no later than the sixth year of appointment as an assistant professor and informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year.

4.A.2. Regular research track faculty
Regular research track faculty members of the Department of Animal Sciences shall include all regular research track faculty members with the titles of research professors, research associate professors, or research assistant professors who serve on appointments totaling 50 percent or more of service to the department. Regular research track faculty appointments are fixed term contract appointments that do not entail tenure. Research track faculty are researchers and shall be engaged in research related to the mission and goals of the academic unit.

4.A.3. Auxiliary faculty

The auxiliary faculty members of the Department of Animal Sciences consists of those persons who are not regular faculty members as defined by rule 3335-5-19 (A) (B) (C) of the Administrative Code but who have appointments with adjunct titles, visiting titles and lecturer titles; also professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than 50% service to the university. Persons with regular faculty titles may not hold auxiliary titles. Persons holding auxiliary titles are not eligible for tenure. Auxiliary faculty members are not accorded voting privileges in the Department of Animal Sciences.

The titles of adjunct professor, adjunct associate professor, adjunct assistant professor, and adjunct instructor shall be used to confer faculty status on individuals who have credentials comparable to regular faculty members of equivalent rank, who provide significant, uncompensated service to the instructional and/or research programs of the university and who need a faculty title to perform that service. Such individuals may be either non-university employees or university employees compensated on a non-instructional budget. Adjunct appointments are made for the period in which the uncompensated service is provided not to exceed one year; renewal is contingent upon continued significant contributions. Procedures for the promotion of adjunct faculty members shall be the same as for promotion of regular faculty members.

The title of visiting professor, visiting associate professor, visiting assistant professor, and visiting instructor shall be used to confer faculty status on individuals who have credentials comparable to regular faculty members of equivalent rank who spend a limited period of time on formal appointment and in residence at this institution for the purposes of participating in the instructional and research programs of the university. A visiting appointment cannot exceed three continuous years of service.

The titles of lecturer and senior lecturer shall be used for all compensated instructional appointments where other titles are not appropriate. Lecturer's responsibilities shall be limited to formal course instruction (rule 3335-5-19 (D) (1) (2) (3) of the Administrative Code, http://trustees.osu.edu/rules5/ru5-19.php).

4.A.4. Courtesy appointments for regular faculty
Regular faculty members with appointments of 50 percent or more in other units of the university, either tenure initiating units or non-tenure initiating units are eligible to be appointed to and hold courtesy or "no-salary" appointments in the Department of Animal Sciences. When a regular faculty member is provided an appointment in a department outside her or his tenure-initiating unit, that appointment is made with the faculty member's regular title. These "no-salary" appointments are classified as regular faculty members, and such faculty members are bound by all policies and procedures governing them as expressed in the faculty rules. Regardless of the policies and procedures which apply to these faculty members within their tenure-issuing unit and/or budget unit, the rights and responsibilities of such faculty members appointed within the Department of Animal Sciences are determined solely by the department as set forth in this document. In general, "no-salary" faculty member responsibilities and expectations include:

- Advising graduate students in accordance with their graduate faculty member status.
- Teaching at the undergraduate and, if approved by the Graduate School, the graduate level.
- Collaborating on research efforts and projects with departmental faculty members.
- Serving on non policy making departmental committees.
- Attending and participating in faculty meetings, but without voting privileges.

4.A.5. Emeritus faculty

Any member of the regular faculty members who has remained professionally active, and who voluntarily retires from the university shall be considered for appointment to Emeritus status. Emeritus status is a university rather than a departmental title and shall not be duplicated for service in more than one department faculty. Emeritus faculty members are not accorded voting privileges in the Department of Animal Sciences and may not participate in promotion and tenure matters.

B. Procedure

4.B.1. Regular tenure-track faculty

The addition of new regular tenure-track faculty members in the department will be determined based on priority needs in the department. The process for determining priority needs for new faculty members will be established by the strategic planning and visioning processes of the department. When vacancies occur, specific consideration will be given to voids that may have resulted in programs as a consequence of vacated positions. The department’s Procedures and Policies for Filling Vacant Faculty Member Positions will be followed when filling faculty positions. The department chair shall appoint a standing search committee that will conduct searches through recruiting high quality candidates for all faculty positions when they are being filled, and appoint a regular tenured faculty member to chair the search committee. The search committee will further refine the position description based on inputs of faculty members and will
subsequently provide the chair of the department the descriptive material that is to be used in advertising the position. The chair of the search committee and the members of the search committee shall be regular tenure-track faculty members who, thus, are eligible to be tenured or hold tenure in the Department of Animal Sciences. The search committee will determine whom to interview. Input regarding evaluation of candidates interviewed will be sought by the chair of the search committee from all department faculty members, staff members, stakeholders and students who participate in the interview process to the extent that they have adequate knowledge to evaluate the candidate being interviewed. The search committee chair will send a ballot to all regular tenure-track faculty members in the department. Faculty members will be asked to provide information as to whether candidates being interviewed are acceptable or not acceptable for the position. The chair of the search committee will be expected to supply the chair of the department a list of the candidates who have been deemed as acceptable by the faculty members. The chair of the search committee will also supply the chair a summary of the vote of the faculty members for each candidate and this vote will be reported to the faculty. The chair of the search committee will also be expected to supply information regarding the perceived strengths and weaknesses of the candidates, as well as specific recommendations from the search committee, leaving no doubt concerning the search committee's judgment of each candidate. The chair of the department, in consultation with the associate chair, will determine whether the position should be offered and to which candidate the offer should be made based on inputs supplied by the search committee and other inputs that are received from other sources.

Candidates who wish to be considered for a position at the rank of associate professor or professor, with tenure, will be required to provide a complete curriculum vitae, a tenure dossier in the required format, and a description of the impact of their prior extension, research and/or teaching programs. These documents will be accessible to all eligible faculty members of the department for a 10-day period and these faculty members will be supplied a ballot via regular mail or e-mail. An affirmative decision will be based on a positive recommendation by 60% of the eligible faculty members returning the ballot. All offers at the associate professor and professor ranks, with or without tenure, and all offers of prior service credit require a prior approval by the dean of the College of Food, Agricultural, and Environmental Sciences and the office of academic affairs.

The policy of the department is to encourage the establishment of a faculty mentor for new faculty members. Each faculty member may request that a faculty mentor be appointed by the chair to review the faculty member's performance and accomplishments and to advise the faculty member regarding appropriate professional improvement activities. A faculty member requesting the appointment of a mentor will confer with the chair concerning who will be appointed. The responsibilities of the faculty mentor are: (a) to review and evaluate on a continuing basis the faculty member's performance and accomplishments in teaching, research, and other scholarly activity and public service; and (b) to confer with the faculty member concerning his or her performance accomplishments and recommend professional improvement activities.

4.B.2. Regular research track faculty
Regular research track faculty members have fixed-term contract appointments as research professor, research associate professor, or research assistant professor without tenure in the Department of Animal Sciences. Specific details are provided by rules 3335-7-30 through 3335-7-40 of the Administrative Code (http://trustees.osu.edu/rules7/ru7-30.php). In general, these appointments are to help meeting the mission and goals of the department and are not meant to supersede the traditional tenure-track system. Consequently, regular research track FTE shall not exceed 20% of the number of regular tenure-track FTEs in the department. Although limited teaching is permitted, these faculty members will be without significant teaching expectation.

Primarily as researchers, their salary support is generally expected to be recovered from sources external to the department. Under no circumstances can salaries be paid from funds generated from tuition and general fund subsidy.

In accordance with procedures established for regular tenure-track faculty positions, so also will regular research track faculty positions be based on priority needs in the department. Any candidate must have an earned doctorate or equivalent terminal degree (e.g., DVM) in the relevant field. Although a national search is encouraged, such a search need not be necessary for research faculty positions. Regardless, the department’s search committee will follow procedures similar to those described for regular tenure-track faculty members. After a research seminar, the committee will solicit comments from faculty members, staff members, and students, and regular tenure-track faculty members of the department will vote on acceptability of the candidate. The search committee will summarize strengths and weaknesses of the candidate and a tally of the regular tenure-track faculty vote for provision to the department chair. The department chair, in consultation with the associate chair, will determine whether or not to offer the position.

Candidates who wish to be appointed at the rank of research associate professor or research professor need to submit a complete, current curriculum vitae and a description of their research program. Affirmation by a 60% majority vote of eligible regular tenure-track faculty casting votes will indicate faculty approval of such appointments. Approval by the chair of the Department of Animal Sciences, dean of the College of Food, Agricultural, and Environmental Sciences, and the office of academic affairs is necessary for the appointment to proceed.

Regular research track faculty can serve as principal investigators on extramural grant applications, supervise postdoctoral researchers, and can gain category P status according to Graduate School rules that are consistent with those for tenure-track faculty members. Research track faculty members will be eligible to serve on department, college, and university committees and task forces, as appointed or elected by rules consistent with tenure-track faculty members. Major exceptions include voting on promotion and tenure committees or on university governance committees.

4.B.3. Auxiliary faculty
In general, the qualifications required for appointment to an auxiliary faculty position shall be equal to those required for a regular faculty position at the same rank. Initial appointment of auxiliary faculty members at any academic rank should occur at a quarterly faculty meeting. An exception would be that the appointment could occur at a special meeting of the regular faculty members. Candidates for initial appointments as auxiliary faculty members should be nominated by an Animal Sciences faculty member at a faculty meeting prior to the meeting at which a vote would be taken. The curriculum vitae of an individual being considered for initial appointment as an auxiliary faculty member must be available for faculty member perusal at least 10 working days prior to the date of the faculty meeting at which the vote will be taken. The regular faculty member making the nomination will present the credentials of the candidate prior to the vote. The regular faculty members will review and vote upon renewal of all auxiliary reappointments yearly at the June faculty meeting. As with regular faculty members, to be acceptable as an auxiliary faculty member in the department, a candidate must receive at least a 60% acceptable vote from all faculty members present at the meeting and eligible to vote in the Department of Animal Sciences. Adjunct appointments require the prior approval of the office of academic affairs and the department may not extend an offer before receiving that approval.

The responsibilities of auxiliary faculty members with faculty titles are negotiated individually depending upon the needs and circumstances of their appointments. Facilities and resources are available for use at the discretion of the chair. The graduate faculty advisor for students in the department may be regular, courtesy or auxiliary faculty members provided that she/he has the appropriate category classifications in the Ohio State University Graduate School. All publications resulting from work conducted by auxiliary faculty members using department facilities and/or resources shall provide recognition of the department's contributions.

4.B.4. Courtesy appointments

In general, the qualifications required for courtesy appointments shall be equal to those required for a regular faculty position at the same rank. The initial courtesy appointment should occur at a quarterly faculty meeting. An exception would be that the appointment could occur at a special meeting of the regular faculty members held at a single location. Candidates for initial appointments as courtesy faculty members should be nominated by an Animal Science’s regular tenure-track or regular research track faculty member at a faculty meeting prior to the meeting at which a vote would be taken. The curriculum vitae of an individual being considered for initial courtesy appointment must be available for faculty member perusal at least 10 working days prior to the date of the faculty meeting at which the vote will be taken. The regular tenure-track or regular research track faculty member making the nomination for courtesy appointment would present the credentials of the candidate prior to the vote. The regular tenure-track faculty members will review and vote upon renewal of all courtesy reappointments yearly at the June faculty meeting. As with regular faculty members, to be acceptable for courtesy appointment in the department, a candidate must receive at least a 60% acceptable vote from all faculty members present at the meeting and eligible to vote in the department.
The responsibilities of those with courtesy appointments are negotiated individually depending upon the needs and circumstances of their appointments. Facilities and resources are available for use at the discretion of the chair. The graduate faculty advisor for graduate students in the department has either regular, courtesy or auxiliary appointments provided that she/he has the appropriate category classifications in The OSU Graduate School. All publications resulting from work conducted by people with courtesy appointments using department facilities and/or resources shall provide recognition of the department's contributions.

4.B.5. Emeritus faculty members

This title must be recommended concurrently with the faculty member's retirement. Upon request in writing by the retiring faculty member to the chair, the chair shall develop a recommendation to the dean for transmittal to the provost. The proposal for emeritus status shall be made at the current rank of the individual. Final approval of emeritus status is granted by the Board of Trustees upon recommendation of the president.

Emeritus faculty members who remain active professionally will, at the discretion of the chair, be provided with facilities and services where available. Such privileges will be subjected to annual review by the chair and will continue as long as the emeritus faculty member is interested and able to make significant contributions to the program of the department. Emeritus faculty members are not accorded voting privileges in the Department of Animal Sciences.

V. ANNUAL REVIEW PROCEDURES

The primary criteria for annual reviews will be based upon teaching, outreach engagement, and scholarly activities. The criteria of service through a faculty member's contribution to the general well-being and academic culture of the department and professional discipline are also primary considerations of quality of performance.

It is the responsibility of the chair to personally conduct the annual review of performance of all faculty members in person (chair, and faculty member only) using a comprehensive report of accomplishments prepared by the faculty member as the basis for the review. These personal reviews shall be initiated annually by the chair after January 1 and prior to the completion of the college budget process. The chair will communicate to each faculty member the evaluation results in writing and will counsel probationary faculty members about performance relative to department expectations. Faculty members may respond in writing to the chair's written performance evaluation. A member of the faculty may place in his or her primary personnel file a response to any evaluation, comment or other material contained in the file.

A. Procedures: Probationary Tenure-Track Faculty
Procedures of the department for probationary tenure-track faculty members will be consistent with rule 3335-06-03 of the Administrative Code and probationary faculty members will use the office of academic affairs dossier outline for their annual reviews:

At the time of appointment, probationary faculty members shall be provided with all pertinent documents detailing tenure initiating unit, college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided with copies of the revised documents (rule 3335-06-03 (C) (1) of the Administrative Code, http://trustees.osu.edu/rules6/ru6-03.php).

During a probationary period a tenure-track faculty member shall be reviewed annually in accordance with this rule and with policies of the tenure-initiating unit, college and university. The annual review should encompass the faculty member's performance in teaching, in scholarship, and in service; as well as evidence of continuing development. The involvement of tenure initiating unit faculty in annual reviews is strongly encouraged. External evaluations of the faculty member's work, required for tenure and promotion reviews, may be obtained for any annual review if judged appropriate by the faculty review body or tenure initiating unit chair. The tenure initiating unit chair shall inform probationary faculty members at the time of initial appointment, and in a timely fashion each year thereafter, when the annual review will take place and provide a copy of the office of academic affairs dossier outline to be completed by the faculty member in reporting accomplishments to date. At the completion of the review the tenure-initiating unit chair shall provide the faculty member and the dean of the college with a written assessment of the faculty member's performance and professional development. The assessment should include both strengths and weakness, as appropriate. If the chair's recommendation is to reappoint the faculty member to another probationary year of service, that recommendation shall be final. A recommendation from the chair to not reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures and the dean shall make the final decision in the matter. All annual review letters to date shall become a part of a faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure (rule 3335-06-03 (C) (2) of the Administrative Code, http://trustees.osu.edu/rules6/ru6-03.php).

The department chair will conduct the annual review for probationary tenure-track faculty. The review should encompass the faculty member's performance in teaching, in scholarship, and in service; as well as evidence of continuing development. The chair will arrange a private meeting for a personal review with each probationary faculty member to discuss progress and plans and the chair will provide a draft of a letter of evaluation and recommendations to the probationary faculty member that will become part of the person's permanent file. The probationary faculty person will have an opportunity to respond, in writing, to any documented feedback regarding their performance; this faculty member's letter will also become part of the person's permanent file.

The annual review process for probationary faculty members is intended to be instructive and candid as well as supportive and helpful. If the probationary faculty member considers the
verbal and/or written observations and recommendations of the department chair to be unfair, unclear, or inconsistent, the faculty member can request a meeting with the P&T committee in the absence of the department chair. Following that meeting, the P&T committee shall meet with the department chair and then the P&T committee will meet privately to develop a summary of observations and recommendations. The P&T chair will be expected to provide a timely, written summary of the observations and recommendations to the faculty member and the department chair. This P&T committee letter will be added to the probationary faculty member's permanent file.

The fourth year review of probationary faculty shall follow the same process as the review for tenure and promotion at the tenure initiating unit and college levels with two exceptions: solicitation of external letters of evaluation may or may not be required by the tenure initiating unit and review by the college promotion and tenure committee shall be optional in all cases where both the tenure initiating unit and the dean approve the renewal of the appointment. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the dean of the college. Before reaching a negative decision or a decision contrary to the tenure initiating unit's recommendation, the dean must consult with the college promotion and tenure committee (rule 3335-6-03 (C) (4) of the Administrative Code, http://trustees.osu.edu/rules6/ru6-03.php).

Fourth-year reviews will be made at the required times and will follow the same review process as for tenure and promotion with one exception. External letters of evaluation are not required for fourth year review candidates.

OAA Policies and Procedures Handbook; Volume 2, Faculty; 5.1 Birth of a child or adoption of a child under age six; Revised: 03/02/07; Edited: 08/01/07.

Units will notify OAA within one year of the birth of a child or the adoption of a child under age six of a probationary faculty member. One year will be excluded automatically from the probationary period unless a nonrenewal notice has been issued.

Requests to decline a one-year exclusion under Faculty Rule 3335-6-03 (D) (2) must be submitted on the Declination of Exclusion of Service Time from Tenure Probationary Period form.

Rule 3335-06-03 (D) of the Administrative Code: Exclusion of time from probationary periods.

(1) An untenured regular tenure-track faculty member may exclude time from the probationary period in increments of one year to reflect the caregiving responsibilities associated with the birth of a child or adoption of a child under age six. Requests to exclude time from the probationary period for this reason must be made within the year following the birth or adoption and prior to the beginning of the year in which the mandatory review for tenure must occur. The maximum amount of time that can be excluded from the probationary period for the birth of a child or adoption of a child under age six is one year. Requests to exclude time from the probationary period made
under the terms of this paragraph must be submitted to the chair of the tenure initiating unit for forwarding to the dean and to the office of academic affairs. Such requests will be approved unless they are prohibited by paragraphs (D)(3) or (D)(4) of this rule.

(2) A probationary tenure-track faculty member may apply to exclude time from the probationary period in increments of one year because of personal illness, care of a seriously ill or injured person, an unpaid leave of absence, or factors beyond the faculty member's control that hinder the performance of the usual range of duties associated with being a successful university faculty member, i.e., teaching, scholarship, or service. Requests to exclude time from the probationary period made under the terms of this paragraph must be submitted to the chair of the tenure initiating unit. Requests shall be reviewed by the tenure initiating unit promotion and tenure committee which shall advise the tenure initiating unit chair regarding their appropriateness. Such requests require approval by the tenure initiating unit chair, dean, and executive vice president and provost. A request to exclude time from the probationary period for any of these reasons must be made prior to the beginning of the year in which the mandatory review for tenure must occur. The extent to which the event leading to the request was beyond the faculty member's control, the extent to which it interfered with the faculty member's ability to be productive, and the faculty member's accomplishments up to the time of the request will be considered in the review of the request.

(3) A request to exclude time from the probationary period for any reason will not be granted after a nonrenewal notice has been issued nor will previously approved requests to exclude time from the probationary period in any way limit the university's right not to renew a probationary appointment.

(4) The maximum amount of time that can be excluded from the probationary period for any reason or combination of reasons is one year for an instructor, two years for assistant professor (including time spent as an instructor) and one year for an associate professor except in extraordinary circumstances. Exceptions require the approval of the tenure initiating unit chair, dean, and executive vice president and provost.

(5) Tenure-track faculty members will be reviewed annually during their probationary periods regardless of whether time is excluded from that period for any of the above reasons unless their absence from campus during an excluded period makes conduct of such a review impractical.

(6) For purposes of performance reviews of probationary faculty, the length of the probationary period is the actual number of years of employment at this university less any years of service excluded from the probationary period under the terms of this rule. Expectations for productivity during the probationary period cannot be increased as a consequence of exclusions of time granted under the terms of this rule.

In the event of non-renewal of appointment for an untenured faculty member, the faculty member will be notified in accordance with rule 3335-6-08 (Standards of notice) of the Administrative Code.
B. Procedures: Tenured Faculty Members

All tenured faculty members shall have an annual review as outlined in the beginning of this section. A detailed report of teaching, research or other scholarly activities, and service for the preceding year along with specific goals and plans for the coming year will be expected from each tenured faculty member. An updated curriculum vitae for departmental files will also be recommended.

C. Procedure: Regular research track faculty

Procedures for appointment, reappointment, and non-reappointment shall be as per rule 3335-7-35 of the Administrative Code. Contracts will be for a period of at least 1 year and no more than 5 years. Contracts must explicitly state the expectations for salary support. The initial contract is probationary. By the end of the probationary year, the department chair will inform the faculty member whether or not he or she will be reappointed for the following year. By the end of the penultimate year of the initial contract, the faculty member will be informed whether or not a new contract will be extended. By the end of the penultimate year of any additional contracts, the faculty member will be informed whether or not a new contract will be extended. The terms of the contract can be renegotiated with the consent of the faculty member prior to appointment or reappointment.

Annual reviews for regular research track faculty members will be consistent with those for tenure-track faculty members as per rule 3335-7-36 of the Administrative Code. The department chair will hold an annual review with the research faculty member and will write a summary letter of evaluation of his/her research program. Research expectations will be consistent with expectations set for promotion of tenure-track faculty (publications; grant proposals funded; invited presentations and publications; editorial service; and other evidence of a quality research program) described later in this document. Decisions for appointment and reappointment will ultimately be made by the dean of the College of Food, Agricultural, and Environmental Sciences. Reasons for termination will be clearly identified and in accordance with established faculty rules.

For regular research track faculty members wishing promotion from research assistant professor to research associate professor, or research associate professor to research professor, they should submit the following materials to the department’s promotion and tenure committee: 1) a current curriculum vitae; 2) copies of the annual review letters of the department chair; 3) narrative describing and justifying quality indicators of their research program, highlighting progress since their initial appointment or since their last promotion; 4) itemization of involvement in graduate/professional exams, theses, and dissertations; 5) noteworthy accomplishments of graduate students or postdoctoral research fellows mentored, and 6) any other relevant information (such as editorship of journals or service to professional societies) that documents national and international status in the candidate’s field of study. These credentials will be presented by the department’s promotion and tenure committee to eligible regular tenure-track faculty members of the department for a 10-day period and these faculty members will be supplied a mail or e-mail ballot. Eligible faculty are tenured faculty of higher rank than the candidate excluding the department chair, the dean and assistant and associate deans of the
college, the executive vice president and provost, and the president. After discussion, the promotion and tenure committee will summarize the candidate’s strengths and weaknesses and tally a vote. The process for a promotion in rank will require affirmation by a 60% majority vote of eligible regular tenure-track faculty casting votes, approval by the dean of the College of Food, Agricultural, and Environmental Sciences, and the office of academic affairs.

Transfers from the tenure-track to the regular research track are allowed according to rule 3335-7-38 of the Administrative Code, but a transfer from the regular research track to the tenure-track is not allowed unless the candidate successfully competes in a national search for a tenure-track position (rule 3335-7-39 of the Administrative Code). For the former situation, a tenure-track faculty member must request a transfer in writing, clearly stating how his/her goals and activities have changed. When transferring to the regular research track, tenure is relinquished. The department chair, dean of the College of Food, Agricultural, and Environmental Sciences, and the provost must approve all transfers.

VI. MERIT SALARY INCREASES & OTHER REWARDS

A. Criteria: Salary Decisions

Salary increments are recommended annually to the dean by the chair. Salary increases are based on the chair's evaluation of each individual's productivity and contribution to the teaching, research, and service mission of the department. All faculty members are asked to update their curriculum vitae by January 31 of each year. Updating includes new information on publications, awards, presentations, grants, committee assignments, teaching activities, achievements, etc. These records are maintained in the department’s office and are reviewed by the chair as part of the evaluation. Evaluation will emphasize the previous year's performance. However, in making annual salary adjustment recommendations for faculty members the chair may also consider the past several years' performance and/or the appropriateness of the salary level to the individual's overall record and market value.

B. Procedures: Salary Decisions

Approximately one month before annual salary raises are recommended to the college, the chair shall rate the past performance and immediate potential for all faculty members and personnel holding salaried appointments in the department based on the annual reviews. Faculty members will be placed in block categories of productivity from highest to lowest without consideration of rank to determine both merit opportunities and inequities.

When the university announces the salary adjustment guidelines for the year, the chair shall decide on an adjustment range appropriate to the year, match the rating scale to the university guidelines, and develop tentative salary adjustments. The chair shall submit the recommended salary adjustments to the dean and make the case for all equity and excellence adjustments.

C. Documentation: Salary Decisions

Approved by the Office of Academic Affairs
08/26/09
A well-documented annual review is the primary process by which performance and achievement are evaluated for all faculty members. It provides information for determining renewal of probationary appointments and is the basis on which merit salary increase recommendations are made. The report is used to gauge the individual's professional growth and contributions to the intellectual life of the department and university.

The annual report outline will follow the college guidelines to document accomplishments in instruction, research, and service for the preceding calendar year. The annual report shall include a statement of duties and responsibilities of the position into which the faculty member is employed. It should indicate the faculty member's: 1) campus-based and outreach education, 2) research, creative and scholarly activities, 3) collaborative professional endeavors, and 4) service. The statement should summarize the major elements of accomplishments and/or expectations within each category. Significant variations in accomplishments from the expected duties and responsibilities from the previous year should be documented with reasonable justification. Anticipated or desired changes for the next year or future years should be documented for discussion with the chair. The outline for the annual report will be provided by the chair by 1 January. It is the responsibility of the chair to communicate to the faculty members documentation format, timetables, new policy materials from the provost and college, and any other changes in the Administrative Code or procedures that may impact the criteria or procedures of the department. Faculty members must submit an updated curriculum vitae and the annual comprehensive report of accomplishments for the previous calendar year to the chair by January 15.

Each faculty member who teaches one or more courses will annually submit evidence to the chair concerning effectiveness in teaching on university campuses. Evaluation of effectiveness of these teaching endeavors will take into account trends and patterns from several recent and consecutive quarters as indicators of progress and the ability of instructors to develop and deliver highly effective instruction. The following should be considered by faculty members in documenting the effectiveness of their teaching activities:

Student opinions, appropriately documented, summarized, and interpreted, are essential. Every student in every course must be provided an opportunity to complete a confidential evaluation of the instruction and instructor. The evaluation instrument for the department will be the university's SEI. Faculty members may supplement the required instrument(s) with evaluative instrument(s) of their own design. All evaluative forms will be administered by another faculty member, a TA assigned to the course, or other designated person to be determined by the department chair.

VII. PROMOTION AND TENURE AND PROMOTION REVIEWS

All faculty member reviews for promotion and tenure and for promotion are done jointly by the chair and the eligible faculty members.

The department endorses rule 3335-6-02 (D) of the Administrative Code (http://trustees.osu.edu/rules6/ru6-02.php) where:
In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

The GENERAL PERFORMANCE CRITERIA for promotion and tenure presented later in this document are to be considered reasonably flexible, such that performance in one area of teaching, outreach engagement, scholarly activity, and service may be balanced against another. However, for promotion to any rank above assistant professor, the candidate must demonstrate and document excellence in scholarly work commensurate with expectations for the rank sought. An unacceptable performance in any category of teaching, scholarly activities, and service will automatically preclude the candidate from receiving a recommendation for promotion.

For purposes of faculty performance reviews under these rules “scholarship” is broadly defined to include “research, scholarly, and creative work” (rule 3335-6-02 (A) of the Administrative Code, http://trustees.osu.edu/rules6/ru6-02.php).

A. Criteria

7.A.1. Criteria: Promotion to associate professor with tenure

The department endorses rule 3335-6-02 (C) of the Administrative Code (http://trustees.osu.edu/rules6/ru6-02.php) where:

The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.

Further, according to rule 3335-6-02 (B) of the Administrative Code: Tenure will not be awarded below the rank of associate professor.

The department has established and exercises very high standards for the awarding of tenure because a positive tenure decision has a profound impact on the quality and future of the department. Although criteria vary both according to departmental mission and the particular responsibilities of each faculty member, every candidate is held to a standard of excellence in all aspects of performance. The pattern of performance over the probationary period is expected to yield confidence that the candidate will continue to develop professionally.
Above all, candidates are held to a very high standard of excellence in the areas that are central to their responsibilities. If a candidate's primary role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area can not be adequately counterbalanced by excellent performance in another aspect of teaching that is a much smaller part of the individual's responsibilities.

7.A.2. Criteria: Promotion to professor

The department endorses rule 3335-6-02 (C) of the Administrative Code (http://trustees.osu.edu/rules6/ru6-02.php) where:

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

The department expects an individual ready for promotion to professor to be a role model for less senior faculty members, for students, and for the profession. While the individual seeking promotion should be assessed in relation to assigned responsibilities, exceptional performance in these responsibilities is required.

7.A.3. Criteria: Promotion of regular research track faculty

The primary duty of regular research track faculty is to conduct research. Thus, the promotion criteria from research assistant professor to research associate professor or the promotion from research associate professor to research professor must reflect the preponderance of responsibilities being research activities.

The promotion to the rank of research associate professor must be based on convincing evidence that the faculty member has achieved excellence as a scholar, and as one who provides limited but effective service; and can be expected to continue a program of high quality scholarship relevant to the mission of the department and to the university.

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

B. Procedures

7.B.1. Procedures: Regular tenure-track faculty

The department's procedures for promotion and tenure reviews are based on those set forth in rule 3335-6-04 (A) of the Administrative Code (http://trustees.osu.edu/rules6/ru6-04.php) where:
(1) In consultation with the rules committee or its designee, the office of academic affairs shall develop and promulgate procedural guidelines for promotion and tenure reviews to supplement Chapter 3335-6 of the Administrative Code. These guidelines shall include a dossier outline to be used for the documentation of accomplishments by all candidates to be reviewed for promotion and tenure and by all probationary tenure-track faculty for annual reviews. The guidelines shall also include general information about the review process at the college and university level, information about any legal considerations affecting promotion and tenure evaluations, examples of criteria by which candidates for promotion and tenure are evaluated, and other information intended to assist academic units in carrying out reviews.

(2) All candidates for promotion and tenure are reviewed by the eligible faculty and by the chair of their tenure-initiating unit. Candidates will also be reviewed at the college and university levels. The tenure-initiating unit chair is responsible for informing the candidate in writing of the provost's final decision (if negative) or recommendation to the board of trustees (if positive).

(3) The review for tenure during the final year of a probationary period is mandatory and must take place.

A faculty member may ask to be considered for nonmandatory promotion and tenure review or for promotion review at any time; however, the tenure initiating unit promotion and tenure committee may decline to put forth a faculty member for formal nonmandatory promotion and tenure review or promotion review if the candidate's accomplishments are judged not to warrant such review. The promotion and tenure committee may not deny a tenured faculty member a formal review for promotion more than three consecutive years.

(4) Only the candidate may stop any review for promotion and tenure once external letters of evaluation have been sought. The candidate may withdraw from review at any stage of the process by so informing the tenure-initiating unit chair in writing. If the review process has moved beyond the tenure-initiating unit, the tenure initiating unit chair shall inform the dean or executive vice president and provost, as relevant, of the candidate's withdrawal. Withdrawal from the mandatory tenure review during the final probationary year means that tenure will not be granted.

In addition, the department’s review procedures are based on those stated in rule 3335-6-04 (B) of the Administrative Code (http://trustees.osu.edu/rules6/ru6-04.php) where:

(1) Each tenure initiating unit shall establish a mechanism such as a promotion and tenure committee, for presenting the case of a candidate for promotion and tenure to eligible faculty for consideration and for preparing a report for the tenure initiating chair providing the eligible faculty's assessment of quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service. 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.

(2) The candidate shall have primary responsibility for preparing, according to the office of academic affairs guidelines, a dossier documenting his or her accomplishments.

(3) The tenure initiating unit chair or chair of the Promotion and Tenure committee shall be responsible for gathering internal evidence of the quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service from students and peers, as appropriate, within the tenure initiating unit. The tenure initiating unit chair or chair of the Promotion and Tenure Committee shall also be responsible for obtaining letters from external evaluators and from other units at this university in which the candidate has appointment or substantial professional involvement, whether compensated or not. Some of the external evaluators should be suggested by the candidate and some by the department chair or Promotion and Tenure Committee; no more than one-half of the letters contained in the final dossier should be from persons suggested by the candidate. All solicited letters that are received must be included in the dossier. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the above authorized persons may not be included in the dossier.

(4) The eligible faculty shall review the candidate's dossier describing accomplishments in teaching, scholarship, and service and shall vote on the candidate. A report of the faculty assessment, including both strengths and weaknesses, and the numerical vote of the faculty shall be forwarded to the tenure-initiating unit chair for inclusion in the dossier.

(5) The chair shall prepare a separate written assessment of the case and recommendation for the dean for inclusion in the dossier. As soon as the faculty report and chair's letter have been completed, the candidate should be notified in writing of the completion of the tenure initiating unit review and of the availability of these reports. The candidate may request a copy of these reports. The candidate may provide the tenure-initiating unit chair with written comments on the tenure initiating unit review for inclusion in the dossier within ten calendar days of notification of the completion of the review. The Promotion and Tenure Committee and/or chair may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the departmental review is permitted.

(6) The tenure initiating unit chair shall forward the dossier with all internal and external evaluations, candidate comments on the tenure initiating unit review and
Promotion and Tenure Committee and/or chair responses to those comments, if any, to the dean of the college.

The review for tenure during the final year of a probationary period is mandatory. A faculty member may ask to be considered for promotion and tenure review or for promotion review at any time; however, the department’s promotion and tenure committee may provide counsel to the candidate as to whether they consider the accomplishments to warrant review at this time, and may decline to put forth a faculty member nonmandatory promotion (rule 3335-6-04 (A) (3) of the Administrative Code). The chair shall work with the assistant and associate professors to prepare appropriate documents for consideration for promotion and/or tenure. However, the candidate shall have primary responsibility for preparing a dossier documenting his or her accomplishments.

The chair or chair of the promotion and tenure committee requests the external letters of evaluation. Under no circumstances should the candidate solicit letters of evaluation. To assure meaningful and credible external evaluations and meet the requirement that no more than half of the letters in the dossier be from persons suggested by the candidate, the following procedure shall be followed.

A) The chair and/or promotion and tenure committee should generate a lengthy list of potential evaluators. These should normally be faculty members at peer institutions who are in a position to comment in an informed way both on the quality of the faculty member's scholarly work and on its significance to the broader field in which it resides. In most cases, they should not be former advisers, collaborators, close friends, or otherwise have a relationship with the faculty member that could reduce objectivity. Letters from collaborators may be appropriate as a means of determining a faculty member's contributions to joint work, but such persons should not be asked for a letter of evaluation.

B) The faculty member under review should be shown this list and be invited to augment this list with a few names of individuals who meet the criteria for objective, credible evaluators. Unless the persons so identified do not meet such criteria and the faculty member cannot offer acceptable alternatives, the department should make every reasonable effort to obtain at least one letter from someone suggested by the faculty member with the remaining letters requested of persons not suggested by the faculty member.

C) The chair should seek approval of the tentative list of prospective evaluators for each candidate from the college dean to minimize the risk that the selection of evaluators will subsequently be judged inappropriate.

D) At least three months before completed evaluations are needed, the chair should send out letters asking persons if they would be willing to write an evaluation. This letter of invitation should set forth expectations, anticipated due dates, and realities of the Public Records Act. Written documentation that agreement to write a letter has occurred must be received by the chair of the department before providing the reviewer the P&T documentation for the candidate. Those agreeing
to write should then be sent all needed materials defining the position into which
the faculty member is employed the scholarly work produced by the faculty
member (position description, current curriculum vitae, and faculty member
statement of accomplishments in research, teaching, and extension.

E) At least five letters will be obtained from distinguished persons in the candidate's
field who are either at peer or better universities or, if not in academia, are
otherwise in a position to critically evaluate the faculty member's scholarly work.

F) External evaluation letters must be submitted by regular mail on institutional
letterhead and carry the evaluator's signature. Such a letter submitted via fax is
acceptable when timing is critical, but must be followed by a mailed original.
Evaluations submitted by e-mail are unacceptable.

Generally, letter writers should be asked only to provide a critical analysis of a faculty
member's scholarly work (at least partly on the basis of provided materials) and should
specifically be asked not to comment on other matters. If applicable, additional letters to be
solicited by the chair in consultation with the P&T Committee include:

A. In the case of a faculty member who collaborates extensively with the same
individual(s), a letter(s) from the collaborator(s) describing the candidate's
contributions to the jointly conducted work (optional).

B. Letters of evaluation from departments and centers in which the faculty member
has joint appointments. These are optional only in cases where the appointment is
both for zero time and entails very little interaction between the faculty member
and the entity in question.

C. Letters of evaluation solicited from former students (optional).

The Committee shall consist of five faculty members holding the rank of full professor.
Three full professors, each serving a 3-year term, will be elected by all regular tenure-track
faculty members salaried in the Department of Animal Sciences. The three positions are
staggered such that one position is replaced each year. Elections are held at the regular faculty
meeting in June. Two full professors will be appointed by the chair for a 2-year term. The chair
should use these appointments to achieve balance among appointment funding sources, faculty
member location, and minority faculty members. A faculty member may not be a candidate for
election or appointment to the department’s promotion and tenure committee for 1 year
following completion of an appointed or elected term. The chair of the department’s promotion
and tenure committee shall be a senior-elected member. The department chair is a non-voting
member of the promotion and tenure committee. The eligible faculty members of the department
select a member of the promotion and tenure committee as Procedures Oversight Designee
during the June faculty meeting.

All candidates for promotion and tenure, for promotion, or fourth year review will be
reviewed by the eligible faculty members and by the chair. The department’s promotion and
tenure committee will examine the dossier for completeness, accuracy, and organization. Candidates may consult with the P&T committee for advice in preparation of the dossier.

All dossiers of faculty members seeking tenure and/or promotion will be on file in the office of the chair and the associate chair for a period of two weeks prior to the meeting of the P&T committee. The P&T committee will solicit input from eligible faculty members on the strengths and weaknesses of each candidate. The P&T committee will draft a detailed analysis to assist the discussion at a meeting of the eligible faculty members. The analysis should justify the strengths and weaknesses according to expectations stated in the chair's annual letters of evaluation and according to department’s expectations. The department’s promotion and tenure committee's analysis should add perspective to the accomplishments including challenges and specific impediments to success that may have existed.

The P&T committee will set up a meeting of all eligible faculty members and lead the discussion to review the dossier and discuss the strengths and weaknesses of the candidate. Eligible faculty members are tenured faculty in the case of tenure decisions and fourth year reviews and faculty members of higher rank than the rank sought by the candidate in the case of promotion decisions. Following this meeting, an evaluation form will be provided to all eligible faculty members. The evaluation form will be used by eligible faculty members to list perceived strengths and weaknesses of the candidate's application and to provide a recommendation on whether the candidate should be tenured and/or promoted. The deadline for return of the evaluation form will be determined and announced by the P&T committee. Attendance or teleconference/video link to the meeting by an eligible faculty member is a requirement to complete an evaluation form and vote. Evaluation forms that do not provide justification for the recommendation will be disregarded by the P&T committee. The evaluation forms will be summarized by the P&T committee and the P&T committee will prepare a report of the faculty members assessment, including both strengths and weaknesses, the numerical tally of the eligible faculty members and forward it to the chair. An affirmative decision will be based on a positive recommendation by 60% of the eligible faculty members returning an acceptable evaluation form. The candidate as well as the P&T committee and chair will have the opportunity to provide written comments for inclusion into the document in accordance with rule 3335-6-04 (B)(5) of the Administrative Code. Only one iteration of comments at the departmental level will be permitted.

7.B.2. Procedures: Regular research track faculty

Promotion to the rank of research associate professor or research professor follows the same general process as that of promotion for regular tenure-track faculty and, thus, are consistent with review procedures established for tenure-track faculty including those set forth in rules 3335-6-03 and 3335-6-04 of the Administrative Code except that the decision by the college dean shall be final with respect to denial of promotion. The candidate must prepare a dossier documenting his or her accomplishment according to the dossier guidelines from the office of academic affairs. External evaluators are selected and evaluation obtained as per section 7.B.1 of this document. The P&T committee will set up a meeting of all eligible faculty members and lead the discussion to review the dossier and discuss the strengths and weaknesses of the candidate. Eligible faculty members are faculty members of higher rank than the rank
sought by the candidate. Following this meeting, an evaluation form will be provided to all eligible faculty members. The evaluation form will be used by eligible faculty members to list perceived strengths and weaknesses of the candidate's application and to provide a recommendation on whether the candidate should be promoted. The deadline for return of the evaluation form will be determined and announced by the P&T committee. Evaluation forms that do not provide justification for the recommendation will be disregarded by the P&T committee. The evaluation forms will be summarized by the P&T committee and the P&T committee will prepare a report of the faculty members assessment, including both strengths and weaknesses, the numerical tally of the eligible faculty members and forward it to the chair. An affirmative decision will be based on a positive recommendation by 60% of the eligible faculty members returning an acceptable evaluation form. The candidate as well as the P&T committee and chair will have the opportunity to provide written comments for inclusion into the document in accordance with rule 3335-6-04 (B)(5) of the Administrative Code. Only one iteration of comments at the departmental level will be permitted.

C. Documentation

As members of a learned profession, all regular faculty members have a tripartite responsibility: 1) to generate knowledge through scholarly activities; 2) to disseminate knowledge, whether through teaching classes on one of the OSU campuses, among colleagues, or to outreach students, including extension clientele; and 3) to provide service to the department, college, university, and profession. Each faculty member is expected to develop both an excellent teaching program and a high quality, well-focused research program. The quality of one's program should be exceptional, regardless of appointment distribution. However, program expectations (quantity) will vary with the appointment distribution. All three areas will be considered in determining the overall contribution of the faculty member for annual performance reviews and for the promotion and tenure process. However, contributions to teaching and research will generally carry more importance than contributions to service.

The mission of the department and the necessity for positive interactions and contributions within its community of scholars cannot be achieved without proper faculty member citizenship and collegiality being demonstrated by members of this scholarly community (department, college, university). This requires each faculty member to fairly meet assigned and unassigned responsibilities, and academic and professional service so as to create and enhance the academic and intellectual environment. All faculty members are expected to demonstrate respect and responsible behavior toward peers, staff, and students. All faculty members have the responsibility to articulate differing positions and opinions responsibly and tactfully so as not to be disruptive to the functioning of the department and/or irresponsible within the expected norms of civility.

Good faculty member citizenship is defined for promotion and tenure decisions as full and open participation in and adherence to the processes and procedures of university, department, faculty members, and professional governance. Primary loyalty should be toward the department as a whole, the university, to the academic and intellectual processes essential to them, and to the scientific discipline(s) which impact the faculty member's professional responsibilities. Exceptional faculty member citizenship also requires open, objective, and timely
communication and discussion with others about department or institutional issues. Department and university affairs must be conducted with integrity and professionalism.

Among the specific criteria for promotion and tenure are evidence of "scholarly activity", "service", and that the faculty member under consideration demonstrate "superior intellectual attainment". Within those criteria, incivility or uncollegiality promulgated by lack of scholarly approach or intellectual consideration of the scope or impact of issue(s) may be the basis for a negative tenure consideration on the basis of failure to demonstrate "superior intellectual attainment" and lack of "scholarly activity". Failure to participate openly in and adhere to the department and university governance processes to effect change and decisions may become the basis for a negative promotion or tenure decision by virtue of inadequate quantity and/or quality of service to the department and university. The capacity for reasoned statements and logic, with consideration of broader or alternative views, to a debated issue is one sign of "superior intellectual attainment". However, expression or adherence of views or opinions differing markedly and persistently from those of the rest of the department or administration must not be considered as a basis for a negative promotion or tenure recommendation if such contrary views have scholarly and intellectual foundations and presentations. Care must be taken so as not to construe civility and collegiality as equivalent to personal likes and dislikes.

7.C.1. Teaching

Effective teaching is an essential responsibility of all faculty members in the department. The quality of teaching is an explicit factor in the evaluation of a faculty member performance for merit salary increases, promotion, and tenure. Teaching embraces two distinct functions: 1) teaching on the university campuses, and 2) outreach education, including extension. Specific criteria exist for evaluation of the effectiveness of each function.

7.C.1.1. Teaching on university campuses

Teaching on university campuses includes undergraduate and graduate instruction in formal courses, seminars, and individual studies. Directing research of undergraduate and graduate students is both a teaching and research activity. Academic and career counseling of both graduate and undergraduate students is a teaching activity.

The following criteria will be used to evaluate effectiveness of teaching.

- Ability to logically organize and present instructional materials;
- ability to present instructional materials with conviction and enthusiasm;
- accuracy and objectivity of instruction and evaluation;
- contributions to course and curriculum development;
- use of appropriate presentation methods, including development of new presentation methods;
- continuous incorporation of new subject matter knowledge;
- ability to motivate and stimulate students intellectually;
- capacity to awaken in students an awareness of the relationship between subjects studied and important problems in other fields of knowledge;
- mentoring of future teachers, e.g. teaching assistants (TA);
advising of undergraduate and graduate students; and
directing graduate and undergraduate research programs and activities.

The chair will designate faculty members to conduct the annual peer review and evaluation of formal course teaching. This evaluation may include course syllabi, exams, instructional materials, textbooks authored by the candidate, contributions to the curriculum, and peer evaluation of classroom performance. At least one peer evaluator will be chosen by the chair or designated representative to lead the evaluative process. Evaluators will be provided a copy of "Peer Review of Teaching Department of Animal Sciences, The Ohio State University" that provides guidelines for the structure and content of the evaluation. The peer evaluation group will submit to the chair and to the candidate a signed written report of evaluation and the lead member of the peer evaluation group and the chair meets with the faculty member to review the evaluation of the class.

A candidate for promotion and tenure or for promotion should also present evidence for the following:

- Development of new and effective instructional techniques and materials appropriate for the objectives and level of the course. These must be documented in writing by the candidate. Examples include changes to or development of syllabi, examinations, laboratory exercises, case studies, field trip agenda, problem sets, computer software, etc.
- Number of courses and sections taught, number of students enrolled, and trends in enrollment. Trends in enrollment should be addressed by the candidate concerning quality of instruction implications.
- Honors project and Individual Studies involvement.
- Recognition or awards for distinguished teaching.
- Instruction-related publications authored, co-authored or edited. Types of publications include:
  - Peer-evaluated scholarly publications designed primarily to communicate with other educators, e.g., journal articles on curricula, course innovations, and student placement; and
  - textbooks authored or edited, textbook chapters, laboratory exercises, and other instructional materials developed. Scope and distribution of each item should be given.
- Academic Advising of graduate and undergraduate students should be documented. The department's Student Evaluation of Advising form will also be used as appropriate by the chair to evaluate effectiveness of undergraduate student advising.
- Counseling and directing of graduate and undergraduate students in career development.
- Maintenance and development of professional competence and growth through participation in workshops, study leaves, courses, industry or government visits, interaction with practitioners and self study should be documented in writing, including when each activity occurred, and professional growth accrued.
- Leadership in development of the curriculum and courses which goes beyond normal teaching and service expectations should be documented.
- Any other relevant information the candidate may wish to submit.

7.C.1.2. Outreach Education
Outreach education refers to planned educational activities by department faculty members that are directed primarily toward students, clients, and stakeholders (users) outside of instruction in formal courses. These are persons, other than professional peers, who are not enrolled in formal courses for academic credit, and include the general educational activities conducted in conjunction with Ohio State University Extension.

To assess the effectiveness of outreach education, faculty members in the department will be evaluated on:

- Demonstration of an understanding of the needs of outreach clientele,
- development of effective teaching materials and programs;
- creativity in subject matter development, methods of presentation, and the incorporation of new ideas;
- contemporary command over the scientific information base and the applied subject matter, and the ability to consolidate and apply that knowledge for identifying and resolving problems for various clientele;
- ability to communicate effectively with outreach clientele, both orally and in writing; and
- ability to anticipate the needs of clientele and to respond with appropriate and scientifically based educational activities.

The chair will seek evidence of quality in extension education from extension writing and publications, imaginative and innovative methods and materials, presentation of papers, presentations to clientele, industry presentations, seminars, and self-improvement endeavors. Extension clientele, industry groups, and peer faculty members provide additional evaluation. Faculty members without an OSUE appointment will be expected to participate in appropriate extension programs and provide assessments of these programs from unbiased sources.

7.C.2. Scholarship

All faculty members are expected to develop a research program, the focus and scope reflecting professional interests as well as departmental goals. An individual's research program must have focus and direction on one or several major objectives. Faculty members are encouraged to participate in team research and interdisciplinary research when appropriate. Local, national, and international recognition of an individual's research program is an important indicator of relevance and quality. Each faculty member with an OARDC appointment must be a principal or co-principal investigator on an approved state or federal project. Faculty members are expected to seek research grants to foster their research programs. Although publications are the primary indicator of research productivity, other evidence that a faculty member is growing professionally and interacting constructively with students and colleagues will be considered. Guidelines used for evaluating research follow.

7.C.2.1. Publications

- Peer-reviewed journal articles based on original research have primary importance as evidence of research accomplishment. The number of peer-reviewed publications would be expected to vary with percent OARDC appointment, but all faculty members are expected to publish peer-reviewed articles.
Peer-reviewed research bulletins are a useful outlet for certain types of research data.
Textbooks and edited volumes that are intended primarily to be tools for instruction are judged as research output.
Peer-reviewed, published review articles (e.g., journal and/or technical review articles) often require substantial investigation and creative thinking on the part of the author and must pass a careful review. In these circumstances, such publications are treated as research output.
Published abstracts of papers presented at scientific meetings and other non peer-review papers are important evidence of productivity and communication of research results to appropriate clientele. However, their importance is secondary to peer-reviewed publications.

7.C.2.2. Research grant proposals submitted and/or funded

- Research grant proposals and awards are an important indicator of the creativity and productivity of a research program. Effort involved in the submission of grant proposals should be recognized, and funded proposals demonstrate a higher level of success.

7.C.2.3. Other indicators

- Invitations to participate at symposia, lectures, and review panels.
- Quality and quantity of predoctoral and postdoctoral students attracted and trained and their contribution to the profession and/or industry.
- Software development, production of videotapes, and patents issued are also judged as creative scholarly activity.
- Research honors and awards are recognition of high quality research.

7.C.3. Service

The Department of Animal Sciences deems service to programs of the department, college, university, professional organizations, and industry to be the responsibility of each faculty member. The department recognizes that service will vary among faculty members, and for a faculty member over time. However, a faculty member is expected to engage in service activities of various types, including administrative, student, professional, and technical. Although service activities are important, teaching performance and research accomplishments will be accorded far greater weight in promotion and tenure considerations.

7.C.3.1. Definition of service

Service includes work done or duties performed for others, including participation in faculty governance of the department, college and university; administrative and student services at all levels within the university; and professional services to government, industry, and professional associations at local, state, national, and international levels. Examples follow.

7.C.3.2. Service categories
University service: faculty governance functions include service on standing and ad hoc committees, councils, etc., at all levels of university organization.

Departmental service: serving on departmental committees and task forces, and supervising of classified and A&P employees.; chairing activity groups in the department such as extension, commodity and/or discipline groups or committees; supervising of livestock (animal) units where multiple faculty member use is involved.

Student services: advising student clubs, College Honors Committee, or other organizations; serving on advisory and examination committees of graduate students, and serving on university student committees (e.g., Judicial and Academic Misconduct).

Professional services: professional services include (but are not limited to) being an editor, an officer of a professional association, or a member of the following: editorial boards; committees and task forces of professional associations; regional and national research, teaching, and extension committees; state and local task forces; state and local advisory committees; industry advisory committees; industry task forces; and boards of directors. Additional services include providing expertise to trade (clientele) organizations and performing consulting activities.

Technical services: technical services include reviewing course outlines, course syllabi, internal and external manuscripts, research proposals, and fund-seeking proposals; regional and national project writing committees; data collection and sample design; assisting students and other faculty members with computer, quantitative and modeling problems; and design of instruments for teaching evaluation and participation in teaching evaluation.

Each faculty member is expected to contribute to department, college, university, and professional society activities. In general, a faculty member would be expected to devote about 15% of professional time on service activities. Some service activities may require up to 20% of a faculty member's time. The amount of involvement and perceived importance of the service activities will be considered, and no hierarchy of importance for various activities is established.

VIII. APPEALS


Rule 3335-5-05 states:

It is the policy of the Ohio State University to make decisions regarding the renewal of probationary appointments and promotion and tenure in accordance with the standards, criteria, policies, and procedures stated in these rules, supplemented by additional written standards, criteria, policies, and procedures established by tenure initiating units and colleges. If a candidate believes that a nonrenewal decision or negative promotion
and tenure decision has been made in violation of this policy and therefore alleges that it was made improperly, the candidate may appeal that decision. Procedures for appealing a decision based on an allegation of improper evaluation are described in rule 3335-5-05 of the Administrative Code.

IX. SEVENTH YEAR REVIEW

Rule 3335-5-05(B) of the Administrative Code (http://trustees.osu.edu/rules6/ru6-05.php) 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. The text of the rule follows:

Every effort should be made to consider new information about a candidate's performance before a final decision is made if the new information becomes available before a decision is rendered. In rare instances, a tenure initiating unit may petition the dean to conduct a seventh year review for an assistant professor who has been denied promotion and tenure. Both the eligible faculty of the unit and the chair must approve proceeding with a petition for a seventh year review. The petition must provide documentation of substantial new information regarding the candidate's performance that is germane to the reasons for the original negative decision. Petitions for seventh year reviews must be initiated before the beginning of the last year of employment because the seventh year review, if approved, would take place during the regular university review cycle of the assistant professor's seventh and last year of employment.

If the dean concurs with the tenure initiating unit's petition, the dean shall in turn petition the provost for permission to conduct a seventh year review. If the provost approves the request, a new review will be conducted equivalent to the one that resulted in the nonrenewal of the appointment. The conduct of a seventh year review does not presume a positive outcome. In addition, should the new review result in a negative decision, the faculty member's last day of employment is that stated in the letter of nonrenewal issued following the original negative decision.

A faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by his or her tenure initiating unit, or appeal a negative decision following a seventh year review, since the faculty member has already been notified that tenure has been denied at the conclusion of the sixth year review.