

Appointments, Promotion, and Tenure

Criteria and Procedures
Department of Theatre
Revised: 06/05/2017

**The Ohio State University
College of Arts and Sciences**

**Department of Theatre
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OAA Approved July 11, 2017

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I Preamble

This document is a supplement to [Chapter 6](#)¹ and [Chapter 7](#)² of the Rules of the University Faculty; the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs [Policy and Procedures Handbook](#)³; and other policies and procedures of the college and university to which the department and its faculty are subject.

Should those rules and policies change, the department 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.

The dean of the College of the Arts and Sciences and the Office of Academic Affairs must approve this document before it may be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments, and its criteria and procedures for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

The faculty and administration are bound by the principles articulated in [Faculty Rules 3335-6-01](#)¹ of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in [Faculty Rule 3335-6-02](#)¹ and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's [policy on equal opportunity](#)⁴.

II Department Mission

The Ohio State University Department of Theatre is dedicated to:

The education and training of theatre artists, scholars and teachers in a creative atmosphere conducive to scholarship, production and performance;¹

Conducting research and creative activities that contribute to the enrichment of the university and to the field of theatre at large;

Offering the citizens of the state of Ohio, the United States, and the international community, through courses, institutes, productions, lectures, screenings and consultations, opportunities for theatre education and production;

Providing opportunity for all members of The Ohio State University--students, faculty, staff and alumni--to participate in theatre as researcher, practitioner or as audience member.

A Undergraduate Education

The Department provides an undergraduate liberal arts education in theatre introducing students to the broad spectrum of the world of theatre, relating theatre to the other arts, to the humanities and to other cultures.

The program is designed to give students an introduction to all the areas of the theatre arts and to prepare him/her for additional study. The course structure begins the development of competencies in acting, directing, design and theatre technology, theatre history, theory, literature, criticism, and script analysis.

The Bachelor of Arts (BA) degree in Theatre, prepares students for a full life in the theatre and the broader cultural sector by nurturing creativity and fostering critical inquiry, foundations of arts production. The BA program is therefore designed to develop skills needed to create and appreciate new theatrical work, to understand the history of theatre, and to help navigate professional lives in the performing arts. This academic exploration incorporates demanding practical training in performance and technical theatre, providing opportunities for our undergraduate students to learn through the laboratory of our productions. The BA forms the beginning of an on-going life of learning about theatre in its many forms, with applications for numerous career paths in the arts industry. The Department of Theatre provides all students at The Ohio State University with the opportunity to enhance their general education by gaining an appreciation and understanding of the theatre arts.

¹ Both the practice and the concept of "theatrical performance" are defined broadly to include not only what has traditionally been called "live" (i.e., performers and spectators joined together in the same space and time) but also film and video representations of human performance. Accordingly, the concept of "live" performance encompasses a broad range of theatrical and performative activities.

B Graduate Education

The mission of graduate education is to provide the training and education essential for theatre artists and scholars. The Department offers three broad areas of training and education in acting; design and technology; and performance history, and theory.

1 Master of Fine Arts in Acting (MFA)

The Master of Fine Arts in Acting (MFA) with a focus on the creation of new works through outreach and engagement provides concentrated study and training in acting, with experience in classical and contemporary styles within the context of developing methods for creating original work. The program emphasizes the development of actors who can work in a repertory company setting as well as function as independent artists producing original work. The program prepares actors to work in creative ways with local communities in realizing original works and provides concentrated study and training in the areas of movement, voice, and acting theory and practice.

2 Master of Fine Arts in Design (MFA)

The Master of Fine Arts in Design (MFA) provides concentrated study and comprehensive training in the art and technology of scene, costume and lighting design. In addition to selecting a primary area of design emphasis, a student may select to study another area of design as a secondary emphasis. The three-year program places equal importance on classroom studies and production program activities. The program of study contains course work in all the areas of theatre and related fields that inform and enrich the area of design selected as an emphasis. Because of the equal importance given to academic and practical experiences within the program, a graduate is well suited for teaching in a college or university in addition to being an articulate and capable theatre artist.

3 Master of Arts (MA)

The Master of Arts (MA) program provides training in theatre studies. Beyond the required course in research methods, students may elect a wide range of courses in theatre history, criticism, theory, and dramatic literature. There are also opportunities to take courses in acting, directing, and design and to participate in theatre productions. The MA degree, culminating in a MA written thesis offers a generalist foundation in theatre studies appropriate for (1) teaching in secondary schools and some colleges, (2) entering into a doctoral degree program, and (3) beginning a possible professional career in theatre companies, the entertainment media, government arts programs, or private arts institutions. Students develop analytical skills in historical research, critical writing, dramatic interpretation, and the nature of theatrical practice.

4 Doctor of Philosophy (PhD)

The Doctor of Philosophy (PhD) serves prospective teachers, critics, and scholars in theatre studies. Each student, working with an advisor, develops an individual program of study that includes not only a wide range of general courses in history, critical theory, dramatic literature, performance analysis, and research methods but also a specialized group of courses in the candidate's areas of interest. Each candidate also selects at least one area of production for training (acting, directing, design, or dramaturgy). Students develop a strong foundation in theatre studies through a self-designed program of study, appropriate to their backgrounds and professional aims. Theatre history and historiography, critical and dramatic theory, genre history and theory, production analysis and dramaturgy, women and theatre, archival access and training, contemporary performance arts, and design technology; Russian theatre, Greek theatre, ancient and modern, Asian theatre, English and American theatre and drama are some of the areas of study available.

C Research and Creative Activity

Research and creative activity is undertaken in the history, theory, literature and criticism of the theatre; in acting theory and technique; in directing concepts and methodology; in dramaturgy; in the writing of plays; in the translation and adaptation of new or obscure works; in the creation of new works; in theatre design concepts and techniques; in the development, production and exhibition of film and video works; in the application of the latest technology to theatrical design and production; and in audience perceptions.

D Service

A regular and varied season of produced plays and screenings, central to the curricular mission of the department, is a primary service of the department. The Department produces a tour to Central Ohio schools as part of the outreach mission of the university. The Department also provides public lectures, conferences, symposia, special institutes, teacher seminars, and workshops to the public. The Jerome Lawrence and Robert E. Lee Theatre Research Institute functions as a major resource for theatres and theatre scholars locally, nationally and internationally. Individual faculty members also undertake extensive public service functions working with theatre and media companies and serving in various state, national, and international theatre and film/video organizations as active members and as officers.

III Definitions

A Committee of the Eligible Faculty

1 Tenure-track Faculty

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the department excluding the department 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 whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

2 Clinical Faculty

Not applicable.

3 Research Faculty

Not applicable.

4 Conflict of Interest

A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional relationship with the candidate (dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion review of that candidate.

5 Minimum Composition

In the event that the department does not have at least three eligible faculty members who can undertake a review, the department chair, after consulting with the dean, will appoint a faculty member from another department within the college.

B Promotion and Tenure Committee

The Promotion and Tenure Committee shall be composed of not less than three and no more than five members of the tenured faculty. Each of the ranks of Full Professor and Associate Professor will be represented when possible and always when required by University Rules. The committee's chair and membership are appointed by the department chair.

Selection should include consideration of the need for representation of the three academic areas of the department as well as gender and racial/ethnic diversity. Members serve two-year staggered terms, and can only be reappointed once, consecutively. Service begins and ends at the end of the academic year. A member having served a total of four consecutive years shall be ineligible for re-appointment for a period of one year, except when an Associate Professor is being considered for promotion. The appointment pattern will be followed to the extent possible. Emeriti faculty may not serve on promotion and tenure committees.

C Quorum

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the department chair has approved an off-campus assignment.

Faculty members who recuse themselves because of a conflict of interest are not counted when determining quorum.

If a quorum is not possible, the meeting must be rescheduled. "Electronic presence" at the meeting is allowed as long as the technology in use enables the participant to fully engage in the conversation and deliberations within the meeting.

D Recommendation from the Committee of the Eligible Faculty

In all votes taken on personnel matters only "yes" and "no" votes are counted. Abstentions are not votes. Faculty members are strongly encouraged to consider

whether they are participating fully in the review process when abstaining from a vote on a personnel matter.

Absentee ballots and proxy votes are not permitted.

1 Appointment

A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the votes cast are positive.

2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when a simple majority of the votes cast are positive.

IV Appointments

A Criteria

The department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department. Important considerations include the individual's record to date in teaching, scholarship and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the department. The search is either cancelled or continued, as appropriate to the circumstances.

1 Tenure-track Faculty

Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The department{ XE "department" } will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department's eligible faculty, the department chair, the dean, and the

Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching{ XE "teaching" }, and high-quality service{ XE "service" } to the department{ XE "department" } and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary{ XE "probationary" }, with mandatory tenure review occurring in the sixth year of service{ XE "year of service" }. Review for tenure prior to the mandatory review{ XE "mandatory review" } year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit{ XE "prior service credit" }, which requires approval of the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" }, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

Associate Professor and Professor. Appointment at senior rank{ XE "senior rank" } requires that the individual, at a minimum, meet the department{ XE "department" }'s criteria in teaching{ XE "teaching" }, scholarship{ XE "research, scholarship" }, and service{ XE "service" } for promotion to these ranks. Appointment at senior rank normally entails tenure. A probationary{ XE "probationary" } appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" }, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency{ XE "permanent residency" } status{ XE "residency status" } may be appointed to a senior rank{ XE "senior rank" } and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.

2 Tenure-track Faculty—Regional Campus

As the mission of the regional campus{ XE "regional campus" } emphasizes undergraduate instruction, regional campus criteria for appointment at the rank of assistant professor, associate professor, or professor are similar to those for Columbus{ XE "Columbus" } campus

faculty, but give relatively greater emphasis at each rank to teaching{ XE "teaching" } experience and quality.

3 Associated Faculty

Associated faculty appointments may be as short as a couple weeks to assist with a focused project, a semester to teach one or more courses, or for up to three years when a longer contract is useful for long-term planning and retention. With the exception of visiting faculty, associated faculty may be reappointed.

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service{ XE "service" }, to the department{ XE "department" }, such as teaching{ XE "teaching" } a course or serving on graduate student committees, for which a faculty title{ XE "faculty titles" } is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty{ XE "regular tenure track (RTT) faculty" }. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

Lecturer. Appointment as lecturer{ XE "lecturer" } requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed one year.

Senior Lecturer. Appointment as senior lecturer{ XE "lecturer" } requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching{ XE "teaching" } experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer should generally not exceed one year.

Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty{ XE "auxiliary faculty" } with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty{ XE "regular tenure track (RTT) faculty" }. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointment of tenure-track faculty{ XE "regular tenure track (RTT) faculty" }. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years at 100% FTE.

4 Courtesy Appointments for Faculty

Occasionally the active academic involvement in this department{ XE "department" } by a tenure-track faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this department. Appropriate active involvement includes research{ XE "research, scholarship" } collaboration, graduate student advising, teaching{ XE "teaching" } some or all of a course from time to time, or a combination of these. A courtesy appointment{ XE "courtesy appointment" } is made at the individual's current Ohio State rank, with promotion in rank recognized.

B Procedures

See the [Policy on Faculty Recruitment and Selection](#)⁵ and the [Policy on Faculty Appointments](#)⁶ in the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } [Policies and Procedures Handbook](#)³ for information on the following topics:

- recruitment{ XE "recruitment and hiring" } of tenure-track, clinical, and research{ XE "research, scholarship" } faculty{ XE "regular research track (RRT) faculty" }
- appointments at senior rank{ XE "senior rank" } or with prior service{ XE "service" } credit{ XE "prior service credit" }
- hiring{ XE "recruitment and hiring" } faculty from other institutions after April 30{ XE "April 30" }
- appointment of foreign national{ XE "foreign national" }s
- letters of offer

1 Tenure-track Faculty

A national search{ XE "national search" } is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance{ XE "Academic Affairs, Office of (OAA)" }. Search procedures must be consistent with the university policies set forth in the most recent update of [A Guide to Effective Searches](#){ XE "Guide to Effective Searches" }⁷.

Searches for tenure-track faculty{ XE "regular tenure track (RTT) faculty" } proceed as follows:

The dean{ XE "dean" } of the college provides approval for the department{ XE "department" } to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The department{ XE "department" } chair{ XE "chair, director" } appoints a search committee{ XE "search committee" } consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department.

The search committee{ XE "search committee" }:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the university Job Postings{ XE "Personnel Postings" } through the [Office of Human Resources](#){ XE "Office of Human Resources (OHR)" }⁸ and external advertising, subject to the department{ XE "department" } chair{ XE "chair, director" }'s approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally professional journal.
- Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this judgment, on-campus

interviews are arranged by the search committee{ XE "search committee" } chair{ XE "chair, director" }, assisted by the department{ XE "department" } office. If the faculty does not agree, the department chair in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee{ XE "search committee" }; graduate students; the department{ XE "department" } chair{ XE "chair, director" }; and the dean{ XE "dean" } or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship{ XE "research, scholarship" }, and teach a class. The latter could be an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the eligible faculty meet to discuss perceptions and preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each candidate to the department chair.

If the offer involves senior rank{ XE "senior rank" }, the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit{ XE "prior service credit" }, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the department chair.

In the event that more than one candidate achieves the level of support required to extend an offer, the department{ XE "department" } chair{ XE "chair, director" } decides which candidate to approach first. The details of the offer, including compensation{ XE "compensation" }, are determined by the department chair.

Potential appointment of a foreign national{ XE "foreign national" } who lacks permanent residency{ XE "permanent residency" } must be discussed with the Office of International Affairs{ XE "International Affairs, Office of (OIA)" }. The university does not grant tenure in the absence of permanent residency status{ XE "residency status" }. The department{ XE "department" } will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

2 Tenure-track Faculty—Regional Campus

The regional campus{ XE "regional campus" } has primary responsibility for determining the position description{ XE "position description" } for a tenure-

track faculty{ XE "regular tenure track (RTT) faculty" } search, but the dean{ XE "dean" }/director{ XE "chair, director" } or designee consults with the department{ XE "department" } chair to reach agreement on the description before the search begins. The regional campus search committee{ XE "search committee" } must include at least one representative from the department.

Candidates are interviewed by, at a minimum, the regional campus{ XE "regional campus" } dean{ XE "dean" }, department{ XE "department" } chair{ XE "chair, director" }, department eligible faculty, and regional campus search committee{ XE "search committee" }. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the department chair and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer{ XE "letter of offer" } must be signed by the department chair and the regional campus dean.

3 Associated Faculty

The appointment, review, and reappointment of all compensated associated faculty{ XE "compensated auxiliary faculty" }{ XE "auxiliary faculty" } is decided by the department{ XE "department" } chair{ XE "chair, director" } in consultation with the department Executive Committee.

Appointment and reappointment of uncompensated adjunct or visiting faculty{ XE "visiting faculty" } may be proposed by any faculty member in the department{ XE "department" } and is decided by the department chair in consultation with the department Executive Committee.

Compensated associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances. All associated appointment{ XE "auxiliary faculty" }s expire at the end of the appointment term and must be formally renewed to be continued. Visiting appointments may be made for one term of up to three years or on an annual basis for up to three consecutive years.

Lecturer and senior lecturer appointments are usually made on a semester by semester or annual basis. After the initial appointment, and if the department's curricular needs warrant it, a multiple year appointment may be offered.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not proceed to the college level if the department{ XE "department" } chair{ XE "chair, director" }'s

recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

4 Courtesy Appointments for Faculty

Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to this department justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the department chair extends an offer of appointment. The department chair reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

V Annual Review Procedures

The department follows the requirements for annual reviews as set forth in the [Faculty Annual Review Policy](#)⁹.

The annual reviews of every faculty member are based on expected performance in teaching, scholarship, and service as set forth in the department's guidelines on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

While the primary criteria for annual reviews shall be based upon Teaching, Scholarship, and Service, a faculty member's contributions to the mission of the department will be considered. Faculty members have obligations that derive from common membership in the community of scholars. Faculty members do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas faculty show due respect for the opinions of others. Faculty acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Faculty members accept their share of faculty responsibilities for the governance of their institution. An annual review recognizes faculty achievement with respect to the above-mentioned obligations.

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material must be submitted to the department chair no later than the first Friday of spring semester classes.

The department chair is required (per [Faculty Rule 3335-3-35](#)¹⁰) to include a reminder in the annual review letter that all faculty have the right (per [Faculty Rule](#)

[3335-5-04¹¹](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

As a portion of each annual review, faculty members are encouraged to develop a body of outside responses to their work. Such responses might consist of peer reviews of participation at national conferences, responses to performances, commentary from colleagues, and/or portfolio reviews/auditions. The faculty member is responsible for securing these response opportunities when they arise. The faculty member informs the Department Chair of the potential responder and the Department Chair arranges for the response. Outside responses shall be submitted as part of the annual report for inclusion in a faculty member's file. These outside responses help to inform the Chair of one's professional activities and accomplishments beyond the Department of Theatre. This solicited material is not, however, an official part of the sixth-year dossier, which is limited to outside evaluations solicited by the Chair and the Promotion and Tenure Committee. Copies of these responses may be used by the faculty member in the materials to be submitted to outside evaluators in sixth year and promotion to full professor reviews.

At the completion of the review process, the Department Chair shall provide each faculty member and the Dean, a copy of the report of the Promotion and Tenure Committee (for untenured faculty), and a written assessment of the faculty member's performance and professional development. The assessment should include both strengths and weaknesses as appropriate.

The Department Chair shall inform the Chair of the Promotion and Tenure Committee in writing when the annual reviews of all faculty members are completed. Should the chair recommendation be non-renewal in the first, second, third, or fifth year of a probationary appointment, then fourth year review procedures are immediately applied including; formal faculty vote, chair recommendation, comments process, and college level review.

All annual review letters and related materials shall become a part of a faculty member's file for subsequent annual reviews and shall be made available to the Promotion and Tenure Committee.

Besides preparing the Department of Theatre Annual Activity Report, each faculty member should update his or her curriculum vitae each year for departmental files and personnel records and submit it to the department office by the first Friday of spring semester.

A Probationary Tenure-track Faculty

Every probationary{ XE "probationary" } tenure-track faculty{ XE "regular tenure track (RTT) faculty" } member is reviewed annually by the chair, who meets with the faculty member to discuss his or her performance, future plans, and goals;

and prepares a written evaluation that includes a recommendation on whether to renew the probationary{ XE "probationary" } appointment.

If the department{ XE "department" } chair{ XE "chair, director" } recommends renewal{ XE "renewal" } of the appointment, this recommendation is final. The department chair's annual review{ XE "annual review" } letter to the faculty member renews the probationary{ XE "probationary" } appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The department chair's letter (along with the faculty member's comments, if received) is forwarded to the dean{ XE "dean" } of the college. In addition, the annual review letter becomes part of the cumulative dossier{ XE "dossier" } for promotion and tenure (along with the faculty member's comments, if he or she chooses).

If the department{ XE "department" } chair{ XE "chair, director" } recommends nonrenewal{ XE "nonrenewal" }, the Fourth-Year Review process{ XE "comments process" } (per [Faculty Rule](#){ XE "Rules of the University Faculty" }¹) is invoked. Following completion of the comments process, the complete dossier{ XE "dossier" } is forwarded to the college for review and the dean{ XE "dean" } makes the final decision on renewal{ XE "renewal" } or nonrenewal of the probationary{ XE "probationary" } appointment.

1 Regional Campus Faculty

Annual review of the probationary{ XE "probationary" } faculty member is first conducted on the regional campus{ XE "regional campus" }, with a focus on teaching{ XE "teaching" } and service{ XE "service" }. The review then moves to the department{ XE "department" } and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the department, the department chair{ XE "chair, director" } discusses the matter with the regional campus dean{ XE "dean" }/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

2 Fourth-Year Review

During the fourth year of the probationary{ XE "probationary" } period the annual review{ XE "annual review" } follows the same procedures as the mandatory tenure review, with the exception that external evaluation{ XE "external evaluation" }s are optional and the dean{ XE "dean" } (not the department{ XE "department" } chair{ XE "chair, director" }) makes the final decision regarding renewal{ XE "renewal" } or nonrenewal{ XE "nonrenewal" } of the probationary appointment.

External evaluations are only solicited when either the department chair or the eligible faculty determine that they are necessary to conduct the Fourth-Year

Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input.

The eligible faculty conducts a review of the candidate that takes into consideration performance since the time of appointment to the tenure track. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment.

The eligible faculty forwards a record of the vote and a written performance review to the department chair. The department chair conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the department review, the formal comments process{ XE "comments process" } (per [Faculty Rule](#){ XE "Rules of the University Faculty" }¹) is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal. The dean makes the final decision.

3 Exclusion of Time from Probationary Period

[Faculty Rule](#){ XE "Rules of the University Faculty" }¹ sets forth the conditions under which a probationary{ XE "probationary" } tenure-track faculty{ XE "regular tenure track (RTT) faculty" } member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs [Policies and Procedures](#){ XE "Academic Affairs, Office of (OAA)" }³.

B Tenured Faculty

Associate professors are reviewed annually by the professors, who submit a written performance review to the department{ XE "department" } chair{ XE "chair, director" } along with comments on the faculty member's progress toward promotion. The department chair conducts an independent assessment; meets with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the department{ XE "department" } chair{ XE "chair, director" }. The department chair meets with the faculty member to discuss his or her performance and future plans and goals, and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

C Tenured Faculty—Regional Campus

Annual review of the tenured faculty{ XE "tenured faculty" } member is first conducted on the regional campus{ XE "regional campus" }, with a focus on teaching{ XE "teaching" } and service{ XE "service" }. The review then moves to the department{ XE "department" } and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the department, the department chair{ XE "chair, director" } discusses the matter with the regional campus dean{ XE "dean" }/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

D Associated Faculty

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The department chair, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. The department{ XE "department" } chair's{ XE "chair, director" } recommendation on renewal{ XE "renewal" } of the appointment is final. If the recommendation is to renew, the department chair may extend a multiple year appointment.

Compensated associated faculty members on a multiple year appointment are reviewed annually by the department chair, or designee. The department chair, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department chair's recommendation on reappointment is final.

VI Merit Salary Increases and Other Rewards

A Criteria

Except when the university dictates any type of across the board salary increase, all funds for annual salary increases are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable.

On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize non-continuing contributions that justify reward but do not justify permanent salary increases. Such payments/rewards are considered at the time of annual salary recommendations.

Meritorious performance in teaching{ XE "teaching" }, scholarship{ XE "research, scholarship" }, and service{ XE "service" } is assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all

three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

Faculty who fail to submit the required documentation for an annual review{ XE "annual review" } at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

B Procedures

Once a salary pool has been identified by the University, the Department Chair shall consult the Faculty Activity Reports, Annual Review Letters, and any reports developed by the Promotion and Tenure Committee related to the faculty member in order to formulate a salary recommendation.

The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. Occasionally, additional funding may be requested from the Dean to supplement departmental allocations following the same criteria detailed above.

Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate. Salary final approval rests with the Dean.

Merit increases may be denied to faculty who fail to submit Activity Reports or submit Activity Reports that provide insufficient documentation to permit an informed evaluation of their performance.

The Department Chair shall inform the faculty member in writing of his/her salary level as soon as final approval is received.

Faculty members who wish to discuss dissatisfaction with their salary increase with the department chair should be prepared to explain how their salary (rather than the increase) is inappropriately low, since increases are solely a means to the end of an optimal distribution of salaries.

C Documentation

The annual performance review of every faculty member requires that all documentation described below, including the summary documents, be

submitted to the department{ XE "department" } chair{ XE "chair, director" } no later than the first Friday of spring semester.

- updated CV{ XE "curriculum vitae (CV)" }, which will be made available to all faculty in an accessible place
- updated [Office of Academic Affairs{ XE "Academic Affairs, Office of \(OAA\)" }](#) dossier.³ (Assistant Professors only)
- Department of Theatre Activity Report

Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.

Under no circumstances should faculty solicit evaluations from any party for purposes of the annual review{ XE "annual review" }, as such solicitation places its recipient in an awkward position and produces a result that is unlikely to be candid.

The time period covered by the documentation described below is the previous 12 months.

1 Teaching

Cumulative eSEI{ XE "Student Evaluation of Instruction (SEI)" } reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar{ XE "Registrar" }) for every class taught.

Peer evaluation of teaching{ XE "teaching" } reports as required by the department{ XE "department" }'s peer evaluation of teaching{ XE "peer evaluation of teaching" } program (details, including required number, included in section X below)

Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed. An accepted but unpublished work submitted for consideration in a given annual review{ XE "annual review" } may not be resubmitted after publication for consideration in a future annual review.

Other relevant documentation of teaching{ XE "teaching" } as appropriate.

2 Scholarship

Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form with no further revisions needed.

Documentation of creative works, performances, screenings, and relevant reviews.

Documentation of grants and contracts received.

Other relevant documentation of scholarship{ XE "research, scholarship" } as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted).

3 Service

Any available documentation of the quality of service{ XE "service" } that enhances the list of service activities in the dossier{ XE "dossier" }.

VII Promotion and Tenure and Promotion Reviews

A Criteria

[Faculty Rule](#){ XE "Rules of the University Faculty" }¹ provides the following context for promotion and tenure and promotion reviews:

In evaluating the candidate's qualifications in teaching{ XE "teaching" }, scholarship{ XE "research, scholarship" }, and service{ XE "service" }, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter 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.

Each faculty member under review will be judged with respect to the requirements, duties, and standards for the proposed rank in light of the Mission

Statement of the Department of Theatre. Three general areas of evaluation apply: Teaching, Scholarship, and Service.

Recognition is given to the fact that duties and responsibilities assigned to individuals vary greatly and therefore, various criteria are of different importance in each individual position. However, in general, all work will be evaluated with attention to these three qualities:

- Magnitude of Involvement (Collaborator, Sole Author, Editor, Contributor, Designer, etc.)
- Significance (Venue, Publisher, Company, Reputation, Organization, Scale, Scope, etc.)
- Critical Acclaim (Reaction to the Work, Reviews, Adjudications, Analysis, Impact, etc.)

1 Promotion to Associate Professor with Tenure

[Faculty Rule](#){ XE "Rules of the University Faculty" }¹ provides the following general criteria for promotion to associate professor with tenure:

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{ XE "service" }; and can be expected to continue a program of high-quality teaching{ XE "teaching" }, scholarship{ XE "research, scholarship" }, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.

Tenure is not awarded below the rank of associate professor at The Ohio State University.

The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the department{ XE "department" }'s academic mission at a high level for the duration of their time at the university.

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the department{ XE "department" }'s ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's primary teaching{ XE

"teaching" } role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities.

Excellence in teaching{ XE "teaching" }, scholarship{ XE "research, scholarship" }, and service{ XE "service" } are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the [American Association of University Professors' Statement on Professional Ethics](#).

The accomplishments listed below in the areas of teaching{ XE "teaching" }, scholarship{ XE "research, scholarship" }, and service{ XE "service" } are expected of faculty for promotion to associate professor with tenure. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank{ XE "senior rank" } appointment without tenure was offered.

Teaching

Effective Teaching is a criterion essential to advancement or the award of tenure. In evaluating the effectiveness of a faculty member's teaching the following should be considered: command of the appropriate subject, continuous growth in the field, ability to organize material and present it with logic and conviction, the capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; the creativity, spirit, and enthusiasm which vitalize learning and teaching; the ability to arouse curiosity in beginning students and to stimulate advanced students to creative inquiry and work; the extent and skill of participation in general guidance and advising of students. Teaching is reflected in effective conduct of assigned courses and leadership of student groups in informal learning situations. It also includes direction of individual scholarship, academic counseling of individual students, and guidance of departmental student groups. Artistic and technical direction in the performance aspects of the department is evaluated as a proportionate share of the teaching load in considering faculty member's effectiveness.

For promotion to associate professor with tenure, a faculty member is expected to have:

- provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge
- demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm

- demonstrated creativity in the use of various modes of instruction, classroom technology, and other teaching{ XE "teaching" } strategies to create an optimal learning environment
- engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process
- provided appropriate and timely feedback to students throughout the instructional process
- treated students with respect and courtesy
- improved curriculum through revision or new development of courses and/or academic programs
- served as advisor to an appropriate number of graduate students given the department{ XE "department" }'s graduate student/faculty ratio and the faculty member's area(s) of expertise
- engaged in documentable efforts to improve teaching{ XE "teaching" }

Scholarship

Scholarship is evidenced primarily by a comprehensive knowledge of the subject area and the ability to communicate that knowledge effectively in appropriate written, oral, and/or artistic form.

Professional excellence is expected in Scholarship. Normally a candidate for promotion and tenure will demonstrate substantial accomplishment in one major area of professional work. Activity in more than one area is not discouraged, as long as it does not detract from the faculty member's primary Scholarship. In the area of Research (e.g., history, criticism, theory, scholarly or creative translation, scholarly editing) significant and substantial publication is to be attained and maintained. In the area of Creative work (e.g., performance, design, directing, choreography, playwriting, dramaturgy, screenwriting, production coaching, and film/video production) the projects -- appropriate to the particular faculty member's area of expertise and teaching responsibility -- should be significant and accomplished contributions to the field.

The performance of duties for the departmental productions will be evaluated as both Teaching and Scholarship. These contributions are vital and significant aspects of one's faculty responsibilities. For the purposes of promotion and tenure, however, faculty members in the professional degree

programs are also expected to attain and maintain significant creative work beyond the production program of the department. The specific nature of this requirement should be established and developed in consultation with faculty colleagues in one's area and with departmental administrators.

Scholarship leads to better teaching, to innovation in the continuing review of the curriculum, and to the professional growth of the faculty. Each faculty member is expected to develop a research emphasis, the focus and scope of which reflects professional interests and departmental mission. No single type of publication/performance is invariably a more significant reflection on a research program than another. Nevertheless, a body of work, which is cumulative in nature and reflects the highest academic/professional standards of the field, is desired.

For promotion to associate professor with tenure, a faculty member is expected to have:

- Created a body of work in high-quality peer-reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:
 - quality, impact, quantity
 - unique contribution to a line of inquiry or repackaging of earlier work
 - rigor of the peer-review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published scholarship{ XE "research, scholarship" } more than unpublished scholarship, and original works more than edited works.
 - empirical work, demonstrating the candidate's ability to conduct such work and to mentor future scholars, is preferred to synthetic work at this stage of career
 - While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
- A developing national/international reputation in the candidate's field as evidenced by external evaluation{ XE "external evaluation" }s, invitations to present at recognized prestigious forums, invitations to review research{ XE "research, scholarship" } papers and grant proposals, and a

beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.

- Demonstrated a high degree of ethics in the conduct of research{ XE "research, scholarship" } including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

Service

The Department of Theatre deems service to programs of the department, college, university, professional organizations, and private and public agencies beyond the university community as a responsibility of each faculty member. It is recognized that service will vary among faculty members and for a faculty member over time depending, in part, on the specific faculty appointment. As is the case with teaching and scholarship, high professional standards are expected in a faculty member's service. In evaluating the effectiveness of a faculty member's service the following five categories should be considered:

- College and University service e.g. serving on faculty governance, search, standing, special and interdisciplinary research committees, and task forces.
- Departmental service e.g. serving on standing and advisory committees, task forces, interdisciplinary research committees, special committees, and supervising of classified and A&P employees.
- Student service e.g. advising undergraduate and graduate student organizations, college honors committee, graduate school exam committee representatives, and on university student committees.
- Professional service e.g. officers, editorships, committees, and task forces of professional associations, state and local task forces, state and local advisory committees, industry advisory committees and industry task forces. Service to trade organizations, member of board(s) of directors, and consulting assignments.
- Peer responsibilities e.g. review course outlines, course syllabi, internal and external manuscripts, research proposals, and fund-seeking proposals, regional and national project committees, assisting students and other faculty with their own projects, and peer evaluation of instruction.

For promotion to associate professor with tenure, a faculty member is expected to have:

- made substantive contributions to the governance of the department{ XE "department" } in a manner that facilitates positive contributions by others
- demonstrated the potential for useful contributions to the profession

2 Promotion to Professor

[Faculty Rule](#){ XE "Rules of the University Faculty" }¹ establishes the following general criteria for promotion to the rank of professor:

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

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field.

The department recognizes that faculty strengths and contributions are defined for each faculty in a unique way where their responsibilities and talents are evident. It is recognized that a career consists of various phases in which a concentration on teaching, scholarly or creative work, or administrative service, create a composite professional life. The professional life may play itself out in various forums ranging from local to the international. Excellence in the major evaluative areas of scholarship, teaching and service is required for promotion to professor.

When assessing a candidate's national and international reputation in the field, a national and international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

In addition, as further specified by [Faculty Rule 3335-6-02](#)¹, assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another.

In the evaluation of untenured professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

Associate Professors who wish to be considered for promotion to Full Professor normally need to notify the Department Chair of their wish to be considered by February 15 preceding the evaluation year.

3 Regional Campus Faculty

The primary function of the regional campus{ XE "regional campus" }es is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the department{ XE "department" } will give greater emphasis to the quality of teaching{ XE "teaching" } and service{ XE "service" } relative to scholarship{ XE "research, scholarship" }. Recognizing that the character and quantity of scholarship by regional campus faculty may differ from that of Columbus{ XE "Columbus" } campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the department nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

B Procedures

The department{ XE "department" }'s procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in [Faculty Rule](#){ XE "Rules of the University Faculty" }¹ and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#)³. The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the department.

1 Candidate Responsibilities

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier{ XE "dossier" } fully consistent with Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier{ XE "core dossier" } outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.

- To review the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified.

2 Promotion and Tenure Committee Responsibilities

The responsibilities of the Promotion and Tenure Committee are as follows:

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review{ XE "non-mandatory review" }{ XE "mandatory review" } in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority{ XE "two-thirds majority" }{ XE "majority" } of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The committee bases its decision on assessment of the record as presented in the faculty member's CV{ XE "curriculum vitae (CV)" } and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching{ XE "teaching" }). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review{ XE "non-mandatory review" }{ XE "mandatory review" }.
 - A tenured faculty{ XE "tenured faculty" } member may only be denied a formal promotion review under [Faculty Rule](#){ XE "Rules of the University Faculty" }¹ for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
 - Consistent with Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department{ XE "department" } chair{ XE "chair, director" } that an untenured faculty member seeking non-mandatory tenure review is a

U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship{ XE "citizenship" } or permanent residency{ XE "permanent residency" } are moreover not considered for promotion by this department.

- A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department{ XE "department" } chair{ XE "chair, director" }, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } annual procedural guidelines.
 - **Late Spring:** Suggest names of external evaluators to the department{ XE "department" } chair{ XE "chair, director" }.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } requirements; and work with candidates to assure that needed revisions are made in the dossier{ XE "dossier" } before the formal review process begins.
 - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier{ XE "dossier" }. This meeting is not an occasion to debate the candidate's record.
 - Draft an analysis of the candidate's performance in teaching{ XE "teaching" }, scholarship{ XE "research, scholarship" } and service{ XE "service" } to provide to the full eligible faculty with the dossier{ XE "dossier" }; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
 - Revise the draft analysis of each case following the faculty meeting{ XE "faculty meeting" }, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the

completed written evaluation and recommendation to the department{ XE "department" } chair{ XE "chair, director" }.

- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier{ XE "dossier" }.
- Provide a written evaluation and recommendation to the department{ XE "department" } chair{ XE "chair, director" } in the case of joint appointees whose tenure-initiating unit{ XE "tenure initiating unit (TIU)" } is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.

3 Eligible Faculty Responsibilities

The responsibilities of the members of the eligible faculty are as follows:

- To review thoroughly and objectively every candidate's dossier{ XE "dossier" } in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

4 Department Chair Responsibilities

The responsibilities of the department{ XE "department" } chair{ XE "chair, director" } are as follows:

- Where relevant, to verify the prospective candidate's residency status{ XE "residency status" }. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review{ XE "non-mandatory review" } for tenure, and tenure will not be awarded as the result of a mandatory review{ XE "mandatory review" } until permanent residency{ XE "permanent residency" } status is established. Faculty members not eligible for tenure due to lack of citizenship{ XE "citizenship" } or permanent residency are moreover not considered for promotion by this department{ XE "department" }.
- **Late Spring Semester:** To solicit external evaluation{ XE "external evaluation" }s from a list including names suggested by the Promotion and Tenure Committee, the chair{ XE "chair, director" } and the candidate. (Also see External Evaluations below.)

- To make adequate copies of each candidate's dossier{ XE "dossier" } available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest{ XE "conflict of interest" } but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department{ XE "department" } review process:
 - of the recommendations by the eligible faculty and department{ XE "department" } chair{ XE "chair, director" }
 - of the availability for review of the written evaluations by the eligible faculty and department{ XE "department" } chair{ XE "chair, director" }
 - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department{ XE "department" } chair{ XE "chair, director" }, for inclusion in the dossier{ XE "dossier" }. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier{ XE "dossier" }.
- To forward the completed dossier{ XE "dossier" } to the college office by that office's deadline, except in the case of associated faculty{ XE "auxiliary faculty" } for whom the department{ XE "department" } chair{ XE "chair, director" } recommends against promotion. A negative recommendation by the department chair is final in such cases.

- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating unit{ XE "tenure initiating unit (TIU)" }s, and to forward this material, along with the department{ XE "department" } chair{ XE "chair, director" }'s independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

5 Procedures for Regional Campus Faculty

Regional campus faculty are first reviewed by the regional campus{ XE "regional campus" } faculty according to the process established on that campus and then by the regional campus dean{ XE "dean" }/director{ XE "chair, director" }. The regional campus review focuses on teaching{ XE "teaching" } and service{ XE "service" }.

The regional campus{ XE "regional campus" } dean{ XE "dean" }/director{ XE "chair, director" } forwards the written evaluation and recommendation of the regional campus review to the department{ XE "department" } chair, from which point the review follows the procedures described for the Columbus{ XE "Columbus" } campus faculty.

6 External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research appointment contract renewals{ XE "renewal" } and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical faculty member will be made by the department chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

A minimum of five credible and useful evaluations must be obtained. A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's scholarship{ XE "research, scholarship" } (or other performance, if relevant) who can give an “arms’ length” evaluation of the research record and is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will only solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an

assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an evaluator on the merits of the case.

Since the department{ XE "department" } cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department{ XE "department" } chair{ XE "chair, director" }, and the candidate and sent to the college for review and approval. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. [Faculty Rule](#){ XE "Rules of the University Faculty" }¹ requires that no more than half the external evaluation{ XE "external evaluation" } letters in the dossier{ XE "dossier" } be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the College of Arts and Sciences suggested format, provided for [letters requesting external evaluations](#)¹³.

Under no circumstances may a candidate solicit external evaluation{ XE "external evaluation" }s or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department{ XE "department" } chair{ XE "chair, director" }, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } to exclude that letter from the dossier{ XE "dossier" }). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

All solicited external evaluation{ XE "external evaluation" } letters that are received must be included in the dossier{ XE "dossier" }. If concerns arise about any of the letters received, these concerns may be addressed in the

department{ XE "department" }'s written evaluations or brought to the attention of the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } for advice.

C Documentation

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier{ XE "dossier" } that follows the Office of Academic Affairs{ XE "Academic Affairs, Office of (OAA)" } dossier outline. While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

The complete dossier{ XE "dossier" }, including the documentation of teaching{ XE "teaching" } noted in bold below, is forwarded when the review moves beyond the department{ XE "department" }. The documentation of scholarship{ XE "research, scholarship" } and service{ XE "service" } noted below is for use during the department review only, unless reviewers at the college and university levels specifically request it.

- Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.
- Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

1 Teaching

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present. Examples of documentation include:

- cumulative eSEI{ XE "Student Evaluation of Instruction (SEI)" } reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar{ XE "Registrar" }) for every class
- peer evaluation of teaching{ XE "peer evaluation of teaching" } reports as required by the department{ XE "department" }'s peer evaluation of teaching{ XE "teaching" } program (details, including number, provided in Section X below)
- copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet

published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.

- teaching activities as listed in the core dossier including
 - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
 - mentoring postdoctoral scholars and researchers
 - extension and continuing education instruction
 - involvement in curriculum development
 - awards and formal recognition of teaching
 - presentations on pedagogy and teaching at national and international conferences
 - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching{ XE "teaching" } as appropriate

2 Scholarship

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of documentation include:

- copies of all books, articles, and scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- documentation of grants and contracts received
- other relevant documentation of research{ XE "research, scholarship" } as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted)
- scholarship activities as listed in the core dossier including
 - documentation of creative works pertinent to the candidate's professional focus including artwork, choreography, collections,

compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites

- documentation of inventions, patents, disclosures, options and commercial licenses
- list of prizes and awards for research, scholarly, or creative work

3 Service

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of documentation include:

- service activities as listed in the core dossier including
 - involvement with professional journals and professional societies
 - consultation activity with industry, education, or government
 - clinical services
 - administrative service to department
 - administrative service to college
 - administrative service to university and Student Life
 - advising to student groups and organizations
 - awards and prizes for service to profession, university, or department
- any available documentation (e.g. letters from committee chairs) of the quality of service{ XE "service" } that enhances the list of service activities in the dossier

VIII Appeals

[Faculty Rule](#){ XE "Rules of the University Faculty" }¹ sets forth general criteria for appeals{ XE "appeals" } of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05¹¹.

Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the faculty member is required to document the failure of one or more parties to the review process to follow written policies and procedures.

IX Seventh-Year Reviews

[Faculty Rule](#){ XE "Rules of the University Faculty" }¹ 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 (mandatory tenure) review.

X Procedures for Student and Peer Evaluation of Teaching

A Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (eSEI) is required in every course offered in this department. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

Faculty are encouraged to supplement the SEI with additional modes of student evaluations of teaching including written student comments or any other method of evaluative data collection. All should be administered to assure confidentiality of the student. Results of these additional methods of evaluation should not be accessed until after grades are posted in the term in question.

B Peer Evaluation of Teaching

The department chair oversees the department's peer evaluation of teaching process.

The Promotion and Tenure committee annually selects faculty from the department to conduct peer reviews. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The responsibilities of the Promotion and Tenure Committee regarding peer review of teaching are as follows:

- To review the teaching{ XE "teaching" } of probationary{ XE "probationary" } tenure-track faculty{ XE "regular clinical track (RCT) faculty" } at least once per year during the probationary period, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned. When assistant professors are reviewed for tenure and promotion, they are required

to have a minimum of five (5) peer evaluations of teaching from the probationary period.

- To review the teaching{ XE "teaching" } of tenured associate professors at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six year period and of having at least three peer reviews of teaching before the commencement of a promotion review.
- To review the teaching{ XE "teaching" } of tenured professors at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.
- To review, upon the department{ XE "department" } chair{ XE "chair, director" }'s request, the teaching{ XE "teaching" } of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching{ XE "teaching" } of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department{ XE "department" } chair{ XE "chair, director" } is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [University Center for the Advancement of Teaching](#)¹⁴.

Reviews conducted upon the request of the department{ XE "department" } chair{ XE "chair, director" } or the faculty member focus on the specific aspects of instruction requested by the chair or faculty member and may or may not include class visitations.

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials, including assignments and exams. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.

In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on such issues as the appropriateness of the course design given the goals and level of the course, the quality and effectiveness of the instructional materials and assessment tools, and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer meets with the candidate to give feedback and also submits a written report to the department chair, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.

Appendix A: Hyperlinks

1. Rules of the University Faculty, Chapter 6 (3335-6):
<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>
2. Rules of the University Faculty, Chapter 7 (3335-7):
<https://trustees.osu.edu/rules/university-rules/chapter-3335-7-rules-of-the-university-faculty-concerning-clinical-faculty-appointment-reappointment-and-nonreappointment-and-promotion.html>
3. Office of Academic Affairs Policies and Procedures Handbook:
<http://oaa.osu.edu/handbook.html>
4. Affirmative Action, Equal Employment Opportunity and Non-Discrimination/Harassment: <http://hr.osu.edu/policy/policy110.pdf>
5. Policy on Faculty Recruitment and Selection:
<https://oaa.osu.edu/assets/files/documents/facultyrecruitment.pdf>
6. Policy on Faculty Appointments:
<https://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>
7. Guide to Effective Searches: <https://hr.osu.edu/private/talent/guide-to-effective-searches.pdf>
8. Office of Human Resources Employment Services: www.hr.osu.edu/
9. Policy on Faculty Annual Review:
<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>
10. Faculty Rule 3335-3: <https://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html>
11. Faculty Rule 3335-5: <https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>
12. American Association of University Professors' Statement on Professional Ethics
<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>

13. Sample External Letter: [https://intranet.asc.ohio-state.edu/sites/intranet.asc.ohio-state.edu/files/ASC Promotion and Tenure External Evaluator Review Process2017-3.pdf](https://intranet.asc.ohio-state.edu/sites/intranet.asc.ohio-state.edu/files/ASC_Promotion_and_Tenure_External_Evaluator_Review_Process2017-3.pdf)
14. University Center for the Advancement of Teaching: www.ucat.osu.edu