

**Appointments, Promotion, and Tenure
Criteria and Procedures for the Department of Sociology
June 2016**

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I Preamble

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (www.trustees.osu.edu); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook, <http://oaa.osu.edu/handbook.html>; 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 will follow the 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 the appointment or reappointment of the department chair.

This document must be approved by the dean of the college and the Office of Academic Affairs 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 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 the administration are bound by the principles articulated in Faculty Rule 3335-6-01, (www.trustees.osu.edu) 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, (www.trustees.osu.edu) and other standards specific to this department and the 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 (<http://hr.osu.edu/policy/policy110.pdf>).

II Department Mission

The Ohio State University, as the state's leading comprehensive public teaching and research university, has as its stated vision being the world's preeminent public comprehensive university, solving problems of world-wide significance. The university mission statement (<https://oaa.osu.edu/vision-mission-values-goals.html>) also notes that the university "exists to advance the well-being of the people of Ohio and the global community through the creation and dissemination of knowledge." It also emphasizes that the university values individual differences and celebrates and learns from its diversity; academic freedom is defended within an environment of civility, tolerance, and mutual respect. Consistent with that mission, the College has defined its mission as the attainment of excellence in scholarship, teaching, and service.

The mission of the department of Sociology stems from that of the University as a whole and of the College of Arts and Sciences of which it is a part. The instructional responsibilities of the department include its role in basic liberal arts education, offerings required for degrees in related disciplines and professions, and the preparation of professional sociologists through its programs

of undergraduate majors and graduate studies. In addition to the dissemination of current knowledge, this department places much emphasis on the production of new knowledge. Thus, research and contributions to the scientific and scholarly literature constitute critical components of its mission, and our research inspires and informs our teaching. Service obligations of members of the department include those required for the governance and operations of the department, the College, and the University. Service extends beyond the boundaries of the University through participation in the affairs of scientific and scholarly bodies concerned with advancing knowledge. Fulfillment of this mission also includes consultation and services to public agencies and citizens groups at the local, state, national, and international levels whose goal is the application of scientific knowledge for the betterment of the human community.

The department's major audiences are undergraduate and graduate students, both here at Ohio State and in other universities utilizing our education and research; academic colleagues within our department and profession and in related colleges and departments, both at Ohio State and internationally; and the larger human community whom our work may benefit.

These audiences affect the nature of our research, teaching, and service. Faculty efforts are focused on achieving excellence in our education, research and service activities, with highest emphasis on research and teaching. Teaching, both in formal classes and in other settings, is aimed at enhancing student understanding, stimulating student reflection and thought, and providing a sound foundation for continued academic investigation. High quality instruction for undergraduate and graduate students begins with an understanding of fundamental sociological principles and continues with an improving ability to apply and integrate these principles in real-world problem-solving and scientific investigation of social organization and social interaction. Research programs focus on the discovery and dissemination of knowledge that will improve our abilities to understand and to positively influence human society. Complementing these two basic activities is a third responsibility: to provide professional expertise to the university community, our profession, and public and private entities beyond the university. Just as teaching and research programs evolve over time, the service role played by a faculty member changes over a professional lifetime, but is always present.

The department aspires to the highest levels of excellence and is committed to the goal of increasing the quality of its research, teaching, and service over time. Each faculty member is expected to contribute to the attainment of that goal, and to the shared intellectual life of the department and university. The criteria and standards of evaluation for faculty performance described in this document reflect this objective of high quality, the pursuit of which is also expected to yield increasing national and international recognition. Performance evaluations are designed to determine the extent to which this is achieved.

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.

The eligible faculty for reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of higher rank than the candidate and 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.

3 Research Faculty

The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty whose tenure resides in the department and all research track faculty whose primary appointment is in the department.

The eligible faculty for reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of higher rank than the candidate and all non-probationary research faculty of higher rank than the candidate excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

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 Reading Committee

The department has a reading committee that assists the eligible faculty in managing the fourth year review and preliminary departmental reviews of candidates considered for promotion to full professor. The reading committee, appointed by the chair, consists of 2 members from the eligible faculty.

C Quorum

The quorum required to discuss and vote on all personnel decisions is 50 percent 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.

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 a simple majority 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 two thirds of the votes cast are positive.

IV Appointments

A Criteria

All appointments, reappointments, and promotion and tenure decisions are made with the intent of fostering the mission of the department and are made in a non-discriminatory manner as outlined in Sections I and II.

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 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 beginning of the third year of appointment, the third year is a terminal year of employment.

Promotion to assistant professor does not require approval. It can be automatic upon completion of requirements stipulated in letter of offer. 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. This section establishes criteria for appointment to the assistant professor rank in the department. Criteria for appointment to higher ranks are specified in the criteria for promotion to those ranks discussed later in this document. The department is bound by principles articulated in Faculty Rule 3335-6-02 (A), (Criteria for appointment, re-appointment, and promotion and tenure).

Consistent with this rule, the minimum requirement for appointment to the assistant professor or higher rank in the department is an earned doctorate in a relevant field of study. The department is bound by principles articulated in Faculty Rule 3335-6-03 (B) (1), which discusses probationary service, duration of appointments for tenure-track faculty, and length of probationary period. Appointment to assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the committee of the eligible faculty determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs at the time the offer of appointment is made (see section IVB below), may reduce the length of the probationary period, but cannot be revoked once granted without a formal approval of an exclusion of time.

Associate Professor and Professor. Appointment at senior rank requires that the individual, at a minimum, meet the department's criteria in teaching, research, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. However, a probationary period not to exceed four years may be part of the appointment, as approved by the Office of Academic Affairs, 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.

The department is cognizant of the expectations of the College for external hires at the associate or full professor level with tenure. These hires will demonstrate the same accomplishments in research, teaching and service as persons promoted within the university. Consistent with Ohio State's mission as a research university and the mission statement of the College, the candidate's contributions to scholarship are central to the hiring decision. An external hire for the rank of tenured associate professor will have an emerging national reputation as a scholar. An external candidate for the rank of tenured full professor will have achieved national distinction as a scholar and have an emerging international reputation, have been an effective teacher, and have provided substantial service to the profession and previous employers. A candidate equivalent to a newly promoted full professor should have an emerging international reputation while more senior candidates should have an established internationally recognized and distinguished scholarly record.

Various measures are used in the evaluation of scholarship, teaching, and service. The measures for judging scholarship include the quality of publications as revealed by placement, citations, external reviewer comments, and faculty judgment; the quantity of publications; the record of grant applications, success, and amounts; and scholarly contributions through media other than

publications. Criteria used in evaluation of teaching include the success of graduate students advised by the candidate, prior contributions to graduate and undergraduate programs, reports of teaching ability, observation of the ability to present scholarly materials in professional settings, and the attainment of national and international recognition, as evidenced by pedagogical publications, awards, honors, and/or other critical student outcomes. Criteria used in evaluation of service include service to the profession, discipline and larger academy; intramural service in prior university or professional settings; and service to the public. The expectation is that examples of service will be consistent with the candidate having a national reputation in the discipline.

For all, the substantial probability that a high rate of quality scholarship and/or excellence in teaching and service will continue needs to be established. The criteria for evaluating the scholarship of an external candidate are a judgment that the addition of the candidate to the Ohio State faculty will improve the level of scholarship of the faculty and improve the unit's national visibility.

2 Tenure-track Faculty—Regional Campus

As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria for appointment at the rank of assistant professor, associate professor, or professor are similar to those for Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and quality.

4 Research Faculty

Appointment of research faculty entails one- to five-year contract appointments. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule 3335-7, www.trustees.osu.edu.

Research track faculty are researchers with PhDs who shall be engaged in externally-funded research related to the mission and goals of the department. They are barred from classroom instruction and governance roles in the department but may chair as well as serve on student committees. They are limited to no more than 10 percent of the number of tenure-track faculty in the department. Reflecting their potential involvement in graduate training, they may hold graduate faculty status as approved by the department's Graduate Studies Committee and the Graduate School. They may also be principal investigators on externally-funded projects. Research track faculty titles parallel those for the tenure-track faculty, i.e. research assistant professor, research associate professor, and research professor, and have comparable research qualifications, especially regarding the securing of extramural funding. Appointments are also regulated by University rules (Faculty Rules 3335-7-33, 3335-7-35 & 3335-7-36).

5 Associated Faculty

The department has two types of associated positions that it may make available for faculty desiring association with the department in a non-tenure-track arrangement – compensated and no-salary. Compensated associated faculty include lecturers, senior lecturers, faculty with titles below 50 percent, compensated adjunct faculty, and visiting faculty. Visiting faculty include temporary faculty and individuals on leave from other academic institutions; their appointments may not exceed three continuous years. Associated faculty appointments may be at the assistant, associate or professor rank. Criteria for appointment and performance as compensated associated faculty, other than lecturers, will be the same as for appointment to tenure-track faculty and will serve as the basis for evaluation for promotion, in the event it is desired.

The title of lecturer is appropriate for individuals whose duties are limited to providing compensated teaching activities and for whom no other titles are appropriate. Minimum criteria for appointment and performance as a lecturer are a Master's degree in sociology or a related field and some prior training or experience in college-level teaching. The title of senior lecturer is appropriate when the individual has a Ph.D. or equivalent degree and usually at least five years of experience teaching at the college level or has a distinguished record of accomplishments. The lecturer title is appropriate if these additional criteria are not met.

No-salary associated faculty include adjunct faculty who are not compensated and faculty with titles at zero percent time and may also include visiting faculty and research scientists. No-salary appointments are made only on the recommendation of the Graduate Studies Committee or the Undergraduate Studies Committee on the basis that the appointee is expected to contribute to the academic mission of the department. Independent or collaborative teaching, research and/or service that enhances departmental productivity is expected of each no-salary appointee.

Faculty with tenure-track professorial titles and less than 50% appointments do not require renewal for appointments to be continued. Associated appointments may be made for no more than one year at a time and thus require formal annual review and renewal if they are to be continued.

6 Courtesy Appointments for Faculty

A courtesy no-salary joint appointment in the department is available to and generally reserved for faculty from other tenure initiating units at The Ohio State University. As with associated no-salary appointments, these appointments are made only on the recommendation of the Undergraduate or Graduate Studies Committee. Individuals granted this appointment are expected to contribute to the academic work of the department, such as by consulting with students and faculty about research activities and serving on student committees. This appointment does not require formal annual review. However, at the discretion of the department chair and no less than once each four years, appointments will be reviewed and continued only if it is determined that the appointee contributes to the mission of the department.

B Procedures

See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>) for information on the following topics:

- recruitment of tenure-track, and research faculty
- appointments at senior rank or with prior service credit
- hiring faculty from other institutions after April 30
- appointment of foreign nationals letters of offer

1 Tenure-track Faculty

Upon receiving permission from the College to hire for one or more tenure-track positions, the department chair will appoint one or more search committees for the position or positions. One member of the committee will be appointed by the chair to serve as search committee chair and another member will be appointed as a diversity designee. The committee will familiarize itself with and follow any college and university policies directing its activity. Search procedures must be consistent with university policies,

<http://oaa.osu.edu/assets/files/documents/facultyrecruitment.pdf>.

Search committees should also consult the Office of Human Resources' A Guide to Effective Searches and other informational guides provided by the college regarding best practices for inclusive searches. A national search is required unless the Office of Academic Affairs approves an exception requested by the department. The chair, working with the faculty, shall prepare and place notices of the position vacancies in appropriate outlets, including internal university posting. 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.

Faculty will have full access to the list of candidates and will have opportunity to advise the search committee. In many cases, the committee will be organized into sub-committees each focused on one part of the recruitment effort; for example, recruitment subcommittees for regional campus faculty, for senior appointments, for junior appointments, or for faculty with specific substantive strengths. Each sub-committee will solicit and review applications from desirable candidates and present a short list of the most promising candidates for departmental consideration as candidates for formal interviews.

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the department chair; and the dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their 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 formal interviews, the chair will solicit comments and evaluations in writing regarding each candidate from faculty and other interested persons. These evaluations will be advisory to the chair. For appointments, the chair would typically call a faculty meeting to discuss the advisability of making an offer. After assessing faculty sentiment, the chair will make

a recommendation to the dean. Upon receiving approval from the dean, the department chair will make the formal offer to the selected candidate(s).

Offers of associate professor or professor rank, with or without tenure, and offers of prior service credit require prior approval of the College and the Office of Academic Affairs. An offer to an Associate or Full Professor also requires action by the committee of the eligible faculty.

2 Tenure-track Faculty—Regional Campus

In case of a tenure-track position on a regional campus, the regional campus Dean/Director has primary responsibility for determining the need for a position and the position description, but should consult and seek agreement with the department Chair. The department Chair and the regional campus Dean/Director will agree on a single search committee, consisting of members of both units. Candidates will be evaluated on both campuses, with the faculty on the Columbus campus taking primary responsibility for evaluating the candidate's record and potential as a scholar. A decision to hire requires agreement on the part of the Chair of the department, and the regional campus Dean/Director. Negotiations with a candidate should not begin without such agreement, and a letter of offer must be signed by both the department Chair and the regional campus Dean/Director.

4 Research Faculty

Appointment of research faculty is made by the department chair after screening by the department recruitment committee and meeting and consultation with the tenure-track faculty. Appointments may be at the assistant, associate, or full professor rank commensurate with research productivity. Such contracts will be limited to short-term (1-5 year) periods. Renewal will require review by all tenured faculty at the higher rank(s). Research professors' compensation is at the Chair's discretion after consultation with the tenured faculty.

5 Transfer from the Tenure-track

Tenure-track faculty may transfer to a research faculty if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the department chair, the college dean, and the executive vice president and provost.

The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed.

Transfers from research faculty to the tenure-track are not permitted. Research faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

6 Associated Faculty

Appointment of lecturers and senior lecturers is made by the department chair. Appointment of compensated or no-salary associated appointments at the rank of assistant, associate, or full professor in the department requires the chair to consult with appropriate faculty and administrators before bringing a recommendation to the faculty for approval. Depending on the

expected contribution, either the Graduate Studies Committee or the Undergraduate Studies Committee will consider potential candidates for such positions, evaluate the case, develop a recommendation, and in the case of a positive recommendation, circulate the rationale and recommendation to the full faculty for its consideration. Salaried and adjunct appointments require the prior approval of the Dean and the department will not extend an offer before receiving that approval. Associated appointments will be evaluated and re-approved or terminated on an annual basis.

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.

7 Courtesy Appointments for Faculty

Courtesy appointments at the rank of assistant, associate, or full professor in the department also require the chair to consult with appropriate faculty and administrators before bringing a recommendation to the faculty for approval. Depending on the expected contribution, either the Graduate Studies Committee or the Undergraduate Studies Committee will consider potential candidates for such positions, evaluate the case, develop a recommendation, and in the case of a positive recommendation, circulate the rationale and recommendation to the full faculty for its approval. Such appointments require approval of the Divisional Dean and will be reviewed at least once each four years and the appointee will be informed of the continuation or termination of the appointment.

V Annual Review Procedures

The department follows the requirements for annual reviews as set forth in the Faculty Annual Review Policy, <http://oaa.osu.edu/assets/files/documents/annualreview.pdf>.

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

A Probationary Tenure-track Faculty

The department is bound by Faculty Rule 3335-6-03 (C), (Probationary service, and duration of appointments for tenure-track faculty), as well as by Office of Academic Affairs policies described in the *Policies and Procedures Handbook*. At the time of appointment and at any subsequent time policies and procedures are changed, probationary faculty will be provided with all department, college and university documents pertinent to promotion, tenure and criteria.

Probationary faculty will be reviewed annually, following departmental, college and university policy. This review serves as the basis for salary recommendations and for assisting faculty in professional development and improving performance. In January, each faculty member provides the Chair with an updated CV; a contributions report following the department's standard form, which includes information about research, instruction, and service; and required supporting

materials including publications and teaching evaluations. Materials from the previous two years are also available for the use of the tenured faculty and the Chair in conducting the review. Probationary faculty are also encouraged by Office of Academic Affairs to provide a cumulative dossier.

The Chair and tenured faculty will use these materials to review each probationary faculty member annually. The tenured faculty will meet to review and discuss the progress of the probationary faculty, a summary of which will be included by the Chair in the annual review letter. In the case of assistant professors requesting to undergo a non-mandatory review, the eligible faculty consider such requests at the time of the meeting as well (see section VII, part B below). The chair will also meet with each probationary faculty member each year, unless approved absence from campus makes such a meeting impractical, in which case alternative arrangements should be made for a discussion of performance. The chair will prepare for the faculty member and the dean an annual written assessment of the faculty member's performance and professional development, and a recommendation on reappointment. This annual review letter will include a reminder that the faculty member may review her/his departmental personnel file and, as described in Faculty Rule 3335-5-04, may place in that file a response to any evaluation, comment, or other material contained in the file. The recommendation for reappointment will be based on the same criteria as for fourth year reviews. If a probationary faculty member is not going to be renewed following an annual review, the review must follow the Fourth Year Review process.

1 Regional Campus Faculty

Probationary faculty on regional campuses will be reviewed annually by the regional campus Dean/Director and by the Chair of the department on the Columbus campus. The regional campus review, which focuses mainly on teaching and service, should take place first. The Dean/Director's report of that review and a copy of the faculty member's annual report will be forwarded to the Department Chair with a copy to the dean of the College. The department review will focus on the candidate's scholarly work and on the appropriateness of course content and course standards, but will consider all aspects of his or her record. The department Chair should give a written review to the faculty member and provide a copy to the Dean/Director. It is important that the department Chair and the regional campus Dean/Director be alert to any developing discrepancy for the probationary faculty member between the quality and quantity of teaching and service on the one hand and the quality and quantity of scholarly work on the other, in order to minimize the possibility that the regional campus and the department might eventually disagree on a tenure recommendation. When such discrepancies become apparent, the regional campus Dean/Director should seek appropriate means of addressing this problem with the faculty member and the department Chair. If the Dean/Director and the Chair cannot agree on a recommendation about the renewal of a probationary faculty member, there should be consultation with the College Dean.

2 Fourth-Year Review

The fourth year review is similar to the sixth year tenure and promotion review in the department in requiring review by the committee of the eligible faculty, but differs in that external letters are not required. 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 research is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the research without outside input. In preparation for the review by the committee, reading committees provide a preliminary summary of each case but do not make a recommendation. These preliminary summaries are distributed to the committee of the eligible faculty prior to its meeting to conduct the review. Renewal of the appointment of a probationary faculty member for the fifth year requires the approval of the divisional dean, who serves as the executive dean's designee for the review. In cases where the divisional dean concurs with the TIU's recommendations to approve the renewal of the appointment, review by the Arts and Sciences Divisional Promotion and Tenure Subcommittee is optional and at the divisional dean's discretion. The divisional Promotion and Tenure Subcommittee, however, must review negative reappointment recommendations. The executive dean, in consultation with the divisional dean, will make the final decision on non-reappointment.

3 Exclusion of Time from Probationary Period

The department is bound by Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu>) that provides for one year's time to be excluded from the probationary period of an untenured tenure-track faculty for the birth or adoption of a child under age six. This exclusion is guaranteed upon notification to the chair, dean, and OAA with the probationary faculty able to choose to decline the one-year exclusion of time as provided by Faculty Rule 3335-6-03 (D). The exclusion of time granted under this provision in no way limits the award of promotion and tenure prior to the mandatory review year. Other reasons for requesting excluded time (in one year increments) include personal illness, care of an ill or injured person, unpaid leave of absence, or factors beyond the control of the faculty member that seriously impeded productivity. For these instances, requests must be made to the Chair within one year of the excluding event and in no case no later than April 1 before the mandatory review for tenure and must be reviewed by the department committee of the eligible faculty, which will advise the Chair about the appropriateness of the request. Except in extraordinary circumstances, a maximum of three years can be excluded from the probationary period for any reason or combination of reasons for an instructor, assistant professor or associate professor.

B Tenured Faculty

The departmental annual review process is bound by the Office of Academic Affairs policies described in the *Policies and Procedures Handbook*. Every tenure-track and research faculty member will have an annual performance review conducted by the chair of the department. This review serves as the basis for salary recommendations and for assisting faculty in professional development and improving performance. In January, each faculty member provides the Chair with an updated CV; a contributions report following the Department's standard form, which includes information about research, instruction, and service; and required supporting materials including publications and teaching evaluations. Materials from the previous two years are also available for the use of the Salary/Workload Committee and the Chair in conducting the review.

Members of the Salary & Workload Committee review all faculty annual reports and supporting materials and advise the chair. The department chair will provide written feedback annually to

every tenured faculty member regarding performance. The annual review letter will include a reminder that the faculty member may review her/his departmental personnel file and, as described in Faculty Rule 3335-5-04, may place in that file a response to any evaluation, comment or other material contained in the file. The department chair will offer a tenured faculty member a scheduled opportunity to discuss the review.

C Tenured Faculty—Regional Campus

Annual reviews of the tenured faculty member are first conducted on the regional campus, with a focus on teaching and service. A copy of the regional campus Dean/Director's review letter should be sent to the department Chair. The Chair will provide written feedback on research. In addition, the faculty member, the Dean/Director, or the Chair may request a meeting to discuss the review or any other concerns.

E Research Faculty

The annual review process for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty.

In the penultimate contract year of a research faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If it will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (www.trustees.osu.edu) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review follows the review procedures for promotion of research faculty. There is no presumption of renewal of contract.

VI Merit Salary Increases and Other Rewards

A Criteria

Scholarly performance in teaching, research, and service will be judged according to the department's mission and promotion and tenure criteria. Performance evaluation will consider the previous three years' performance in research and the previous year's performance in teaching and service. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. However, the chair may also consider the cumulative performance and/or the appropriateness of the salary level to the individual's overall record in making annual salary adjustments for faculty. A full set of all *vitae* and contribution reports is available to all faculty for examination in a shared network drive.

Faculty who fail to submit the required documentation for an 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

The Salary-Workload Advisory Committee will review each faculty member's annual contributions report, using the criteria described above. Committee members rate the contributions of each of their colleagues on a five-point scale. Those preliminary ratings form the basis for discussion when the committee meets with the Chair to discuss each case and arrives at an overall committee rating for each case, with members absenting themselves during the discussion of their performance and from both rating and participating in the discussion of faculty with whom they have a familial or comparable relationship. If a close professional relationship gives rise to conflict of interest for any committee member, they will not participate in the evaluation of that case. Evaluations will be advisory to the chair as input to salary adjustment recommendations for faculty members.

Regional Campus Faculty. Each Dean/Director will consult with the department Chair before making these recommendations.

C Documentation

The primary evidence for determining appropriate salary adjustments will be the annual contributions reports due from each faculty member on a date specified by the chair. That report will document a faculty member's performance in teaching (including both classroom teaching and service on undergraduate and graduate student committees), research and service, judged from the perspective of contributions to the stated mission of the department.

VII Promotion and Tenure and Promotion Reviews

A Criteria

1 Promotion to Associate Professor with Tenure

The department is bound by Faculty Rule 3335-6-02 in the awarding of tenure and promotion to the rank of associate professor. The awarding of tenure and promotion to the rank of associate professor is based on performance in teaching, scholarship and service and must be based on convincing evidence that the faculty member has achieved and can be expected to continue a professional program of excellence. Excellence in teaching means the provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience; excellence in scholarship means attainment of measurable national or international recognition based on an appropriate amount and rate of high quality published research; and excellence in service means the provision of a high level of professional expertise and experience to one or more publics—including the university, the Columbus community, the state of Ohio, the nation, and professional organizations.

The college views tenuring and promoting an assistant professor to associate professor as a critically important evaluative process. There must be evidence that supports a claim that retention of the candidate will improve the overall quality and standing of the unit. Tenure and promotion to associate professor requires excellence in both scholarship and teaching. Good service is important, but the College recognizes that service provided during the probationary

period of assistant professors is limited by design, thus the most important judgment is that the candidate will achieve excellence in service in the future.

Departmental criteria for tenure and promotion are consistent with these university and college standards. Criteria for a positive recommendation include the following:

Research: Evidence that the candidate has established a visible research program through publications in the discipline's major journals or leading peer-reviewed specialty or interdisciplinary journals, and/or research monographs published by major publishing houses; evidence that the candidate has moved beyond their dissertation research; evidence that candidates have made active efforts to seek intramural and extramural support from appropriate sources given their research specialties, and evidence that the candidate will have an emerging national reputation as a scholar.

Scholarship is the responsibility of each department faculty member. It takes many forms: research, theoretical innovation, the development of improved empirical techniques, and the creative application of existing concepts and empirical methods to problem solving. Each faculty member is expected to develop a research program, the focus and scope of which reflects important sociological problems, professional interests, and the departmental mission. Written accounts of research, particularly those that have been reviewed by peers, are the primary indicators of research productivity. However, publishing frequently is insufficient to prove that a research program is excellent. Publication quality and impact must also be assessed, employing indicators such as the reputation and average impact of the publication outlet, the Social Science Citation Index, and evidence that research has influenced the design of subsequent research activity, policy formulation, implementation, or evaluation.

Teaching: Demonstrated strong performance in teaching. The Office of Academic Affairs requires comprehensive documentation of teaching for candidates for tenure and for promotion to associate and full professor including summary results of student teaching evaluations and regular, meaningful peer evaluation. The department also expects active participation in graduate student training as reflected in participation on student committees.

To judge effective teaching, faculty will be evaluated on command of substantive knowledge; ability to organize and present class material with logic, conviction and enthusiasm; contributions to curricula development; creativity in course development, methods of presentation, and incorporation of new materials and ideas; capacity to awaken students' awareness of the relationship between subjects studied, important problems and other fields of knowledge; mentoring of future teachers such as teaching assistants; advising undergraduate and graduate students; and directing graduate and undergraduate research programs/activities.

Service: Demonstrated satisfactory performance in service; this includes conscientious service on department committees, participation in departmental activities, service to department, peers and faculty-department citizenship. This also includes professional service such as reviewing manuscripts or grant proposals and service in national or regional professional organizations. College and University service are generally not expected at the probationary level.

2 Promotion to Professor

The department is bound by Faculty Rule 3335-6-02 regarding promotion to the rank of professor, which states that promotion to the rank of professor will be based on convincing evidence that the faculty member has achieved and can be expected to maintain a sustained record of excellence.

The college views promotions from associate to full professor as an important evaluative process. Specifically, promotion to full professor requires excellence in both scholarship and teaching. Excellence in service, as defined by evidence of leadership, is highly desirable. Excellence is defined following the College Promotion and Tenure Policy. For promotion to full professor, excellence in scholarship means attainment of measurable national and international recognition based on an appropriate amount and rate of high quality published research or other relevant endeavors. A successful candidate will have achieved national distinction as a scholar and have an emerging international reputation. Excellence in teaching means the provision to all students the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. It can be measured by the attainment of national and international recognition, as evidenced by pedagogical publications, awards, honors, and/or critical student outcomes. Excellence in service means the provision of a high level of professional expertise to one or more publics—including the University, the Columbus community, the state of Ohio, the nation, and professional organizations.

Departmental criteria for tenure and promotion are consistent with these university and college standards:

Research: Candidates for promotion to full professor should have a record of sustained research of the type described above for tenure candidates: a visible research program through publications in the discipline's major journals or leading peer-reviewed specialty and interdisciplinary journals, and/or research monographs published by major publishing houses. The department also expects candidates to make active efforts to seek extramural support from appropriate sources given their research specialties.

Scholarship is the responsibility of each department faculty member. It takes many forms: research, theoretical innovation, the development of improved empirical techniques, and the creative application of existing concepts and empirical methods to problem solving. Each faculty member is expected to develop a research program, the focus and scope of which reflects important sociological problems, professional interests, and the departmental mission. Written accounts of research, particularly those that have been reviewed by peers, are the primary indicators of research productivity. However, publishing frequently is insufficient to prove that a research program is excellent. Publication quality and impact must also be assessed, employing indicators such as the reputation and average impact of the publication outlet, the Social Science Citation Index, and evidence that research has influenced the design of subsequent research activity, policy formulation, implementation, or evaluation.

Teaching: The department requires that promotion candidates demonstrate excellent performance in teaching. The Office of Academic Affairs requires comprehensive documentation of teaching

for candidates for tenure and for promotion to associate and full professor including summary results of student teaching evaluations and regular, meaningful peer evaluation. The department also expects active participation in graduate student training as reflected in service on student committees.

To judge effective teaching, faculty will be evaluated on command of substantive knowledge; ability to organize and present class material with logic, conviction and enthusiasm; contributions to curricula development; creativity in course development, methods of presentation, and incorporation of new materials and ideas; capacity to awaken students' awareness of the relationship between subjects studied, important problems and other fields of knowledge; mentoring of future teachers such as teaching assistants; advising undergraduate and graduate students; and directing graduate and undergraduate research programs/activities.

Service: The department requires that a candidate for promotion demonstrate strong performance in service to the department; this includes conscientious service on department committees, participation in departmental activities, service to department peers and faculty-department citizenship. In addition, the department expects appropriate levels of service to one or more publics—including the University, the Columbus community, the state of Ohio, the nation, and professional organizations.

Alternative Pathways for Promotion to Full Professor. The department is bound by Faculty Rule 3335-6-02 (D) to insure reasonable flexibility when evaluating qualifications in teaching, scholarship, and service. Accordingly, reasonable flexibility shall be exercised in evaluating the candidate's qualifications in teaching, scholarship, and service. As faculty enter and continue in new fields of work, including interdisciplinary endeavors, and place new emphasis on its continuing activities, instances will arise in which the work of the faculty member may depart from established academic patterns. The college takes the pursuit of research excellence as our core value. Where a candidate has made truly extraordinary contributions in the areas of teaching or service, that record may warrant promotion to full professor in combination with a less extensive, though excellent record of continued productivity in research activity.

4 Regional Campus Faculty

The Office of Academic Affairs has emphasized that candidates should be held to a very high standard of excellence in areas that are central to their responsibilities. Expectations for regional campus faculty differ somewhat from those for faculty on the Columbus campus. The primary mission of the regional campuses is to provide high quality undergraduate instruction and to serve the academic needs of their communities. The relative emphasis on teaching and service expected of regional campus faculty will therefore ordinarily be greater. The department expects regional campus faculty members to establish a program of high quality scholarship. The department recognizes, however, that the greater teaching and service commitments of regional campus faculty require a different set of expectations. The judgment whether a particular body of work meets departmental standards for tenure and or promotion will take into consideration the regional campuses' different mission, higher teaching and service expectations, and lesser access to research resources. In evaluating regional campus faculty, the department puts heavy weight on the regional campus evaluation of teaching and service and gives particular scrutiny to the quality of

the research program and the trajectory of research productivity, recognizing that the rate and total quantity of publication may be somewhat reduced when compared with Columbus campus faculty.

6 Research Faculty

Promotion to Research Associate Professor. For promotion to research associate professor, a faculty member must have a substantial record of high-quality focused research consistent with an appointment devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged by external evaluators as having substantial positive impact on the field. A record of continuous peer reviewed funding is required along with evidence of a growing national reputation.

Promotion to Research Professor. For promotion to research professor, a faculty member must have a national and international reputation built on an extensive body of high-quality publications and with demonstrated impact on the field. A record of continuous peer-reviewed funding is required, along with demonstrated research productivity as a result of such funding.

B Procedures

The department procedures for promotion and tenure reviews must be consistent with those set forth in Faculty Rule 3335-6-04. The review for tenure during the final year of a probationary period is mandatory and will take place.

All candidates for promotion and tenure will be reviewed by the committee of the eligible faculty and by the chair of the department and will also be reviewed at the college and university levels. The department chair will notify the candidate of the recommendation at each step of the review, as well as inform the candidate in writing of the provost's final decision (if negative) or recommendation to the board of trustees (if positive).

Full-scale reviews for promotion to full professor and non-mandatory ("early") reviews for promotion to associate professor with tenure are preceded by preliminary departmental reviews in the spring of each year to determine whether the department committee of the eligible faculty recommends a formal review in the fall. In the case of assistant professors requesting to undergo a non-mandatory review, the eligible faculty consider this request at the time of the meeting to discuss the annual review (see section V, part A, above). In addition to the materials submitted for the regular annual review, the candidate submits narrative statements on teaching, research, and service (modelled on those in the core dossier) as well as a cumulative SEI report. If this request is made at fourth year, the committee may consider it at the same time as they review the dossier, holding a separate vote regarding whether the candidate should come up for promotion and tenure review in the following fall.

The Chair will consult with each associate professor during her/his sixth year in rank and every third year thereafter to determine whether s/he desires a preliminary departmental review. Candidates prepare a partial dossier and provide a current curriculum vitae and a set of papers completed since the last promotion for this departmental review. In preparation for these periodic reviews by the committee of the eligible faculty, reading committees appointed by the chair

provide a preliminary summary of each case. This preliminary summary is distributed to the committee of the eligible faculty prior to its meeting to conduct the departmental review.

In the case of any request for non-mandatory review, the committee will discuss the case and vote, by secret ballot, on whether to recommend a full-scale review of the candidate at this time. A committee recommendation to conduct a formal review does not constitute a commitment by the committee of the eligible faculty or the Chair to make a positive recommendation to the College after a full-scale review. The committee can only prevent a tenured associate professor from being considered for promotion once.

Only the candidate may stop any review for promotion and tenure once external letters of evaluation have been sought. The candidate may withdraw from review at any stage of the process by informing the department chair in writing. If the review process has moved beyond the department, the chair shall inform the dean of the candidate's withdrawal.

1 Responsibilities during the Review Process

The candidate has the primary responsibility for preparing a dossier documenting his or her accomplishments. The Procedural Oversight Designee will verify the accuracy of citations and other aspects of the candidate's dossier.

The candidate must 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.

The department chair or his or her designee is responsible for obtaining letters from internal and external evaluators. Procedures for obtaining external letters of evaluation must meet requirements specified in "Policies and Procedures Handbook," issued by the Office of Academic Affairs. A list is first developed by soliciting suggestions from area faculty; this list is reviewed by the candidate who is asked to remove anyone with whom there is a close or mentoring relationship, and to suggest a few additional names. The College approves this list.

The department chair or his/her designee, no less than three months before the candidate's dossier is scheduled for faculty review, will contact evaluators and provide each with samples of the candidate's professional work and the candidate's curriculum vitae. Evaluators will be asked to focus on research accomplishments and productivity since appointment or last promotion but will also be invited to make comments on the significance of the overall research program and its impact on the field. All (at least five) solicited letters that are received will be included in the dossier. The Rules of the University Faculty requires that no more than one-half of the letters may be from evaluators suggested by the candidate.

Eligible faculty will review the candidate's dossier and vote, by secret ballot, on the candidate. The department strongly encourages informed participation of all eligible faculty at the meeting. In the case of unavoidable absence, faculty members may submit written comments to the department chair, who will report those views as part of the discussion at the meeting. Those

reported views may be included in the committee report, but are not part of the numerical vote taken at the meeting. The Chair of the committee of the eligible faculty will prepare a report of the faculty assessment, including both strengths and weaknesses, and the numerical vote of the eligible faculty, and forward it to the department chair for inclusion in the dossier.

The department chair will prepare and include in the dossier a separate written assessment of the case and recommendation to the dean. As soon as the faculty report and chair's letter have been completed, the department chair will notify the candidate in writing of the results of the tenure initiating unit review and of the availability of these reports. The candidate may request a copy of these reports.

The candidate may provide the chair with written comments on the departmental review for inclusion in the dossier within ten calendar days of notification of the letter from the department chair. The committee of the eligible faculty and/or chair may provide written responses to the candidate's comments for inclusion in the dossier.

The department chair will forward the dossier with all internal and external evaluations, candidate comments on the tenure initiating unit review, and the committee of the eligible faculty and/or chair responses to those comments, if any, to the dean of the college.

5 Procedures for Regional Campus Faculty

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

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

6 External Evaluations

External evaluations of research and scholarly activity are obtained for all promotion reviews in which research must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research track contract renewal and promotion reviews, and all adjunct faculty promotion reviews.

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 research who 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. The 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 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 Committee of the Eligible Faculty, the department chair, and the candidate. 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 3335-6-04 requires that no more than half the external evaluation letters in the 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 nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

Under no circumstances may a candidate solicit external evaluations 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 chair, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the 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 letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

C Documentation

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the committee of the eligible faculty Procedure Oversight Designee 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.

1 Excellence in Teaching

Effective teaching is an essential responsibility of all faculty members in the department. The quality of teaching is an explicit factor in the evaluation of faculty performance for merit salary increases, promotion and tenure. Teaching includes undergraduate and graduate instruction in formal courses, seminars and individual studies. Directing student research is both a research and

teaching activity. Advising students, and academic and career counseling (graduate and undergraduate) is a teaching activity.

In evaluating performance in teaching, evidence regarding course and instructor evaluation will be considered in documentation. In this regard, student opinions and judgments, appropriately documented and accompanied by interpretive information, are essential. Every student in every classroom course has an opportunity to complete a confidential evaluation of the instruction and the instructor on line. A common evaluation form will be specified by the department. Faculty may supplement the required form with evaluative instruments of their own design. Trends and/or patterns of responses in evaluations are considered to be as important or potentially more important than scores for any particular course or year.

The department chair will arrange for annual peer evaluations of classroom teaching, which may include review of syllabi, exams, instructional materials, text books, contributions to curriculum, and classroom observation. The designated peer evaluator(s) will submit to the department chair a signed report of evaluation(s) and also provide a copy to the candidate.

Evidence of the development of new and effective instructional techniques and materials, as shown through written explanation by the candidate, including syllabi, examinations, case studies, management and marketing games, field trip agenda, computer software, and problem sets are also considered.

In addition, evidence will be considered regarding recognition, honors, or awards for distinguished teaching; Instruction-related publications authored, co-authored or edited by the faculty member (this may include peer-evaluated publications designed primarily to communicate with other educators, e.g. journal articles on curricula, course innovations and student placement; textbooks, chapters in textbooks or peer-evaluated books of readings; articles, papers, reviews and other non-reviewed class materials); academic advising, mentoring and direction of undergraduate and graduate students in research papers, thesis and dissertations; counseling of graduate and undergraduate students in career development and personal matters; and leadership in development of courses and curricula that goes beyond normal teaching and service expectations.

2 Excellence in Research

No single type of publication is invariably a more significant reflection on a research program than another. Peer reviewed articles and monographs based on original research have primary importance as evidence of research accomplishment. Review articles often require significant investigation on the part of the author and pass a careful review. In these circumstances, such publications are treated as research output. The evaluation of book chapters, including a substantive editor's introduction and/or summary in a book of original papers, depends on the extent to which they are based on original research, subject to peer review, and placed in collections judged as of overall high quality and likely to have an impact on the field. Publications that are not peer-reviewed are generally accorded lesser weight. Textbooks, edited volumes, and other materials that are intended primarily to be tools for instruction are judged as research output only to the extent that they present new ideas or constitute conceptual or empirical innovation. Similarly, book reviews written for journals are primarily viewed as

professional service to the field, rather than as research output. At any given time point, manuscripts that are in review provide evidence of continuing research efforts. Manuscripts accepted for publication, documented by copies of correspondence from the publisher, will be treated as publications for the purpose of evaluating research performance.

It is essential for the candidate to list his/her contribution and percentage of effort to a publication with multiple authors.

Much of the research completed by a faculty member may be done in collaboration with graduate and undergraduate students. To some extent, students' accomplishments reflect faculty members' teaching efforts. However, the quality of students' work (e.g., dissertation awards, citations of a dissertation, publication of results, etc.), recruitment of graduate students, and involvement with graduate and undergraduate students' research also reflect on a faculty member's research program.

Finally, research excellence may manifest itself in other ways, depending on the individual's field of expertise, on how research problems are approached, and the stage of the individual's professional development. Among other indicators of the quality of a faculty member's research program are the award of external and internal funds, and other awards and recognitions. Faculty members are expected to provide evidence of these activities and of their quality and usefulness to the department and to the profession.

3 Excellence in Service

The department deems service to programs of the department, college, university, and 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. However, a faculty member is expected to perform in each of the following major service categories (administrative, student, professional, and peer). Service is defined as work done or duties performed for others including administrative and student services at all levels within the university and professional services to government, non-government organizations, and professional associations at local, state, national, and international levels.

Administrative service includes, but is not limited to departmental service, including serving as committee chairpersons; service on standing committees, task forces, and special committees; and supervising classified and A&P employees. It also includes college and university service, including serving on faculty governance, search, standing, special and interdisciplinary research committees, and task forces.

Student service includes, but is not limited to advising undergraduate and graduate student clubs or other organizations, serving on student honors committees; serving on graduate student committees in the department and in other departments; and serving on other university-wide student committees such as those evaluating charges of judicial and academic misconduct.

Professional service includes, but is not limited to service as officers and on editorial councils, committees, and task forces of professional associations; regional and national committees; state and local task forces; state and local advisory committees; and board(s) of directors.

Peer service includes, but is not limited to reviewing course outlines, course syllabi, internal and external manuscripts, research proposals, and fund-seeking proposals; consulting on problem conceptualization, data collection; and sample design; assisting students and other faculty with computer, quantitative and modeling problems; and peer evaluation of instruction. More generally, peer service responsibilities include faculty-department citizenship, in which a faculty member contributes indirectly to department productivity by influencing the productivity of other faculty. For example, a faculty member contributes to productivity of other faculty by positive interactions apparent in cooperative research efforts, team teaching, and the like. Contributions to productivity of other faculty are apparent from co-authorship of articles, collaboration in submitting research grants, teaching improvement proposals, sharing of innovative ideas in committee meetings, and in general conveying a positive public image for the department, college, and university. Intellectual diversity is valued for its contributions to the quality of scholarly life. Along with intellectual diversity, the department values contributions of each faculty member to collegiality: responsible and respectful behavior toward peers, staff, and students.

VIII Appeals

The department is bound by Faculty Rule 3335-6-05 (A), (Criteria and procedures for appeals of negative promotion and tenure decisions and appointment non-renewals and for seventh year reviews), which provides a specification of general criteria for appeals of negative promotion and tenure decisions, and by Faculty Rule 3335-5-05, regarding appeals alleging improper evaluation. In the event the matter is not resolved to the satisfaction of the candidate, a formal appeal may be filed as described in the above faculty rules.

IX Seventh-Year Reviews

The department is bound by Faculty Rule 3335-6-05 (B), that specifies conditions of and procedures for a seventh year review for a faculty member denied tenure as a result of a sixth year review. A faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by the department, or appeal a negative decision following a seventh year review.

After fully considering all new information about a candidate's performance, and determining due reason, the department may petition the dean to conduct a seventh year review for an assistant professor who has been denied promotion and tenure. Both the eligible faculty and the chair of the department must approve this petition. The petition must document substantial new information regarding the candidate's performance germane to the reasons for the original negative decision. The petition must be initiated before the beginning of the last year of employment.

X Procedures for Student and Peer Evaluation of Teaching

A Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in this department. Faculty should encourage students to fill out the form on line after notification from the Office of the University Registrar and/or give class time for students to fill it out via 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.

B Peer Evaluation of Teaching

The department chair oversees the department's peer evaluation of teaching process and will assign faculty of a higher rank to provide peer evaluations of assistant and associate professors. 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.

The responsibilities of the Peer Review are as follows:

- To review the teaching of probationary tenure-track at least four times during the first three years of service, and at least once during the remainder of the probationary period, with the goal of adequately assessing teaching at all the levels of instruction (e.g., graduate and undergraduate) to which the faculty member is assigned.
- To review the teaching of tenured associate professors at least once every two years, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review, including full professors. 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 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 chair is informed that the review took place, but the report is given only to the faculty member who requested the review.

Reviews conducted upon the request of the department chair or the faculty member focus on the specific aspects of instruction requested by the chair or faculty member.

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and includes, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. Departments should make sure that evaluations of a faculty member's teaching over time are conducted by more than one peer. At the beginning of the semester, the assigned peer reviewer will request from the faculty a list of dates on which

visitation would be inappropriate because a quiz or exam is being given, a guest speaker is scheduled, etc.

Peer review focuses particularly on aspects of teaching that most students are not qualified to evaluate, such as: appropriateness of curricular choices given the goals of the course, implicit and explicit goals of instruction, quality and effectiveness of testing tools, and appropriateness of approach relative to current disciplinary knowledge. At the conclusion of the review, the peer reviewer submits a written report to the department chair, copied to the faculty member. The faculty member may provide written comments on this report and the peer reviewer may respond in writing to those comments if he/she wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier, unless the faculty member requests that the comments be excluded.

Regularly scheduled reviews are both summative and formative (they provide both an assessment of the faculty member's teaching for use in annual and promotion reviews, and advice to improve the faculty member's teaching).