

Appointments, Promotion, and Tenure Criteria and Procedures

Department of Teaching and Learning

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I Preamble

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu/university/facultyrules>); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook (<https://oaa.osu.edu/policies-and-procedures-handbook>); and other policies and procedures of the college of Education and Human Ecology and university to which the department of Teaching and Learning (T&L) 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 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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 (<https://hr.osu.edu/public/documents/policy/policy110.pdf>).

The general policies and procedures in this document pertain to personnel on the Columbus campus and all Regional Campuses, unless differences are otherwise specified.

All meetings of the department and its committees shall be conducted according to Robert's Rules of Order as per university rules unless explicitly noted otherwise in this document, in the Department POA, and the College APT and POA documents.

II Department Mission

The mission of the Department of Teaching and Learning is to generate and share knowledge about effective practices for learning and teaching processes affecting people in diverse schools and environments (especially urban), families, and communities through world-class research, innovative teaching, and responsive service that addresses pressing educational problems both locally and globally. We are especially concerned about preparing researchers, educators, and teachers who understand and enact social

justice for under-represented groups, for emergent bilingual students, and for children and youth of immigrants and refugees. Accordingly, a major focus of the Department of Teaching and Learning is the preparation of students:

- To become leaders in the field, helping to critique, rethink, and re-conceptualize knowledge and pedagogy for academic content, critical inquiry and reflection, and learning processes.
- To be well prepared in theory, evidence-based, and research-based practices in pedagogy.
- To develop the knowledge, pedagogical abilities, and dispositions within a strong social justice framework to effectively teach diverse, urban learners in ways that are culturally relevant and sustaining.

Our mission and vision link directly to The Ohio State University's Vision, Mission, Values and Goals. As part of one of the nation's largest land grant universities, as well as an urban-serving university, we share and seek to fulfill the goal of advancing the well-being of the people of Ohio and the global community through the creation and dissemination of knowledge. Through our research, coursework, and engagement with local communities, we make an active effort to lead the field, nationally and internationally, while working collaboratively with our local school and community partners. Department faculty share a commitment to scholarship, teaching, and service that emphasizes educational equity, diversity, inclusion, and social justice; values collaborative, interdisciplinary scholarship; and embraces opportunities to lead, learn from, and partner with Ohio education professionals. We believe in addressing the needs of the whole child by understanding the settings beyond the classroom which can directly inform educator preparation, enhance community engagement, and improve pedagogical practices.

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 senior rank new appointments and for reappointment, promotion and tenure, and promotion reviews of tenure track faculty consists of all tenured faculty of higher rank 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

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

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department and all non-probationary clinical faculty of equal rank or higher rank than the candidate whose primary appointment is 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 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.

Open discussion and professional judgment is required in determining whether it is appropriate for a faculty member to not participate in a particular review. If two-thirds of the members of the Committee of the Eligible Faculty believe that a conflict of interest exists and the faculty member has not recused him/herself, the committee will recommend to the department chair that the individual be recused. If the department chair concurs with the committee's recommendation, the department chair will inform the faculty member that he/she may not participate in the voting process.

4 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 department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of four professors and three associate professors. One committee member must be a member of one of the regional campuses. The committee should be diverse to the point of reflecting the diversity of the faculty, students, and communities the College of Education and Human Ecology (EHE) serves. The committee's members are elected by a vote of the department faculty. The term of service is three years with reappointment by faculty election possible.

The Promotion and Tenure Committee shall consist of seven faculty members elected for staggered three-year terms so that the majority of the committee members are of the full professor rank. The chair of the committee shall be a full professor. At its first organizational meeting of the calendar year, the committee will select and confirm its chair. The chair of the committee shall serve for one year but may be re-confirmed for subsequent years (of the three-year term) by the Promotion & Tenure Committee.

A Procedures Oversight Designee (POD) will also be selected by the committee at its initial meeting and serve a one-year term but may serve subsequent years of the three-year term. The designee should assure that the review body at each level follows written procedures governing its reviews, that the proceedings are carried out in a highly professional manner, and, in particular, that the proceedings are free of inappropriate comments or assumptions about members of underrepresented groups that could bias their review. This person shall use the checklist of information provided in the OAA document.

If an elected committee member is unable to serve all or part of that member's term of office (due to illness, death, or serious family issues), an alternate member will be elected or appointed to fill the vacancy.

When candidates have joint appointments within the College, the Department, which is the tenure-initiating unit for the candidate, will be responsible for undertaking promotion and tenure procedures.

When considering cases involving clinical faculty the Promotion and Tenure Committee may be augmented by two non-probationary clinical faculty members.

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 (e.g., faculty professional leave). 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 votes taken on personnel matters regarding reappointment and promotion, only “yes” and “no” votes are counted. Abstentions are not votes.

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

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. Voting procedures will follow Robert's Rules of Order.

IV Appointments

As part of the process for recommending faculty for appointment, each search committee will seek the input of the faculty regarding applicants brought to campus for interviews or who otherwise are being considered by the search committee for recommendation to the department chair as a potential new hire. Faculty input shall be reported to the department chair as part of the search committee's recommendation (positive or negative) regarding applicants brought to campus for interviews or who otherwise are being considered by the search committee.

A Criteria

The department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department and advance the mission of the department and college. Important considerations include the individual's record to date in scholarship, teaching, 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 will be cancelled or continued, as appropriate to the circumstances.

1 Tenure Track Faculty

OAA requires a national search to ensure a diverse pool of highly qualified candidates. Requests for exceptions to this policy must be submitted to OAA. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

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 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 promotion prior to the mandatory year.

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, and high-quality service to the department and the profession is highly desirable. Appointment at the rank of 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 Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period but is strongly discouraged as it cannot be revoked once granted.

Associate Professor and Professor. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

Appointment at senior rank requires that the individual, at a minimum, meet the department's criteria in scholarship, teaching, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. A 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, 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 status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency. Offers to foreign nationals require prior consultation with the Office of International Education.

Joint Faculty Appointments

A joint faculty appointment is defined as one in which a faculty member has a compensated FTE appointment in two or more tenure initiating units. In this case, a memorandum of understanding (MOU) between the colleges and their department is developed using the template created by OAA. The department chair, with the approval of the dean, will establish memoranda of understanding for appointments in cases where a non-TIU, such as an academic center, provides part of the funding for a faculty appointment. Such MOUs do not require OAA approval. (Refer to

<http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf> for specific guidance on this process.)

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 and service experience and quality.

3 Clinical Faculty

Clinical faculty members are engaged primarily in instructional activities, in outreach, and in academic program leadership and support. Department chairs work with the Dean for approval to open a search. The position will be open for a regular fiscal year (approximately August through April); if unfilled, the position will be closed and reopened upon approval from the Dean.

OAA requires a national search to ensure a diverse pool of highly qualified candidates. Requests for exceptions to this policy must be approved by the college.

Appointments at senior rank require prior approval by the college dean and OAA.

College policies with regard to Clinical Faculty can be found in the College APT (http://oaa.osu.edu/sites/default/files/uploads/governance-documents/college-of-education-and-human-ecology/EHE-APT_2013-08-26.pdf, pp. 6-7) and also in the College POA (http://oaa.osu.edu/sites/default/files/uploads/governance-documents/college-of-education-and-human-ecology/EHE-POA_2014-07-24.pdf, pp. 6-7).

The initial contract is probationary, with reappointment considered annually. Tenure is not granted to clinical faculty, but clinical faculty are eligible for promotion in rank. 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 (<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>).

Assistant Professor of Clinical Teaching and Learning. .

As per the College's APT (http://oaa.osu.edu/sites/default/files/uploads/governance-documents/college-of-education-and-human-ecology/EHE-APT_2013-08-26.pdf, p. 7): "An earned master's degree or appropriate credentials demonstrating expertise in their relevant area of study and a minimum of five years of relevant experience in the workplace are the minimum requirements for appointment at the rank of clinical assistant professor. Evidence of teaching effectiveness and knowledge of current research impacting practice within the field of study is desired."

Associate or Professor of Clinical Teaching and Learning and Professor of Clinical Teaching and Learning.

As per the College's APT (http://oaa.osu.edu/sites/default/files/uploads/governance-documents/college-of-education-and-human-ecology/EHE-APT_2013-08-26.pdf, p. 7): "An earned master's degree or appropriate credentials demonstrating expertise in their relevant area of study and a minimum of five years of relevant experience in the workplace are the minimum requirements for appointment at the rank of clinical associate or full professor. A doctorate or appropriate terminal degree in the field is preferred when

hiring at this level. Evidence of the following is also required: current knowledge of research impacting practice with the field of study; ongoing engagement with practitioners in relevant context; sustained high-quality teaching; high-quality and impactful service both within and outside the university. For the appointment at Clinical Full Professor rank, candidate should have, in addition to the above, evidence of high-quality and impactful service at a local, state, or national level. Appointments at the rank of clinical associate or full professor must be approved by the Dean and require prior approval of the Office of Academic Affairs.”

4 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 to the department, such as teaching a course, for which a faculty title is appropriate. Adjunct faculty rank is determined by applying the criteria for appointment of tenure track 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 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 they may be promoted to senior lecturer.

Senior Lecturer. Appointment as senior 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 experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion.

Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated or uncompensated. The rank of associated faculty is determined by applying the criteria for appointment of tenure track faculty. Associated faculty members 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 a regular academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non tenure-track faculty) individuals are appointed is determined by applying the criteria for appointment of tenure track 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.

5 Courtesy Appointments for Faculty

Occasionally the active academic involvement in this 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 collaboration, graduate student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

6 Emeritus Faculty

Emeriti faculty appointments are for individuals who have served the university with distinction, are

tenure-track or clinical faculty at the time of their retirement, and are recommended by the director or chair, the dean, the Office of Academic Affairs, and by the Board of Trustees for emeriti status. Office space is provided at the discretion of the department or college as appropriate.

Requests for faculty emeriti status originate with the faculty member requesting this status and should be directed to the department chair. The chair will bring the request forward to the dean for support before submission to OAA. The written request should include a copy of the faculty member's retirement letter and a short statement of justification, including effective date of emeriti status. Both the department chair and the dean must indicate that the faculty being considered for an emeritus appointment has been a good academic citizen of the department and college.

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 (<https://oaa.osu.edu/policies-and-procedures-handbook>) for information on the following topics:

- recruitment of tenure track, and clinical 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

The dean approves the initiation of all faculty searches and the academic rank for a faculty position. Typically, a search committee makes written recommendations to the department chair regarding all candidates found to be acceptable. The chair provides a recommendation to the dean. The dean approves a candidate. The dean's office and chair will work together to hire the candidate. For additional information on faculty searches, see the College's POA (http://oaa.osu.edu/sites/default/files/uploads/governance-documents/college-of-education-and-human-ecology/EHE-POA_2014-07-24.pdf, page 19).

1 Tenure Track Faculty

The appointment procedures for employing tenure-track faculty shall be consistent with the most current procedures established by the Office of Academic Affairs and the College. A national search and vigorous efforts to ensure a diverse pool of highly qualified candidates are required. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must be consistent with the OAA Policy on Faculty Recruitment and Selection.

While the majority of the faculty membership of the search committee shall consist of T&L faculty, it will include at least one faculty member from another tenure-initiating unit in the College or University. The chair of the search committee shall be a faculty member in T&L. Students, staff members, and other individuals may be involved as nonvoting members of the search committee as deemed appropriate; however, at least one representative of students and of staff must come from T&L.

For a Columbus faculty candidate, the department chair shall make a recommendation to the dean, giving substantial weight to feedback from the faculty of the Department of Teaching and Learning and to the report of the Search Committee.

Searches for tenure track faculty proceed as follows:

The dean of the college provides approval for the 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 chair appoints a 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.

Prior to any search, members of all search committees must undergo inclusive hiring practices training available through the [Office of Diversity and Inclusion](#). Implicit bias training, also strongly encouraged, is available through the [Kirwan Institute for the Study of Race and Ethnicity](#).

The 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 Personnel Postings (formerly known as the "green sheet") through the Office of Human Resources Employment Services (<https://hr.osu.edu/>) and external advertising, subject to the department chair'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 assure that at least one print (as opposed to online) advertisement appears in a location likely to be read by qualified potential applicants. 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 circulated professional journal.
- Screens applications and letters of recommendation and recommends to the chair candidates (usually three to five) judged worthy of interview. The chair reviews recommendations, in consultation with the search committee chair, and makes a recommendation to the dean for on-campus 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. All candidates interviewing for a particular position must follow the same interview format. Significant input from faculty, staff, and students, including written comments and evaluations, are collected throughout the process.

Following completion of on-campus interviews, the search committee meets to discuss perceptions and preferences. The search committee reports a recommendation to the chair on the acceptability of on each candidate to the department chair.

As per the College's APT (http://oaa.osu.edu/sites/default/files/uploads/governance-documents/college-of-education-and-human-ecology/EHE-APT_2013-08-26.pdf, p. 10): "In the event that more than one candidate achieves the level of support required to extend an offer, the department chair recommends to the Dean which candidate to approach first; the Dean decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair in consultation with the dean of the college."

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs. The university does not grant tenure in the absence of permanent residency status. The 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 has primary responsibility for determining the position description for a tenure track faculty search, but the dean/director or designee consults with the department chair to reach agreement on the description before the search begins. The regional campus search committee must include at least one representative from the department. The Chair of the Department and the Regional Campus Dean shall agree on a single search committee for the position consisting of members of both campuses. The majority of the search committee members shall be comprised of Regional Campus faculty of T&L. At least one committee member should be affiliated with the Department of Teaching and Learning (T&L) on the Columbus campus. Students, staff members, and other individuals may be involved as deemed appropriate. Students, staff members and other non-tenure track individuals remain as nonvoting members.

Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department eligible faculty, and regional campus 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 must be signed by the department chair and the regional campus dean.

3 Clinical Faculty

Searches for clinical faculty generally proceed identically as for tenure track faculty, with the exception that the candidate's presentation during the on-campus interview is on clinical/professional practice rather than scholarship, and exceptions to a national search only requires approval by the college dean.

4 Transfer of Faculty Appointment

Tenure-track faculty may transfer to a clinical appointment 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 the clinical faculty to the tenure-track are not permitted. Clinical faculty members may apply for tenure track positions and compete in regular national searches for such positions.

5 Associated Faculty

Renewal of appointments of associated faculty shall be initiated by the department chair after consultation with appropriate faculty and the Department Advisory Committee.

The appointment, review, and reappointment of all compensated associated faculty is decided by the department chair in consultation with the Department Advisory Committee. There must be evidence that the candidate has the potential to make the appropriate contribution(s) to the mission of the department. The roles of Adjunct Faculty relative to teaching and service (e.g., on graduate students' committees) shall be subject to Graduate School policies and those that are developed by the Department of Teaching and Learning.

Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. The sponsoring faculty member must submit a letter of request and appropriate materials per the departmental guidelines. Proposals are reviewed by the T&L Advisory Committee and if approved, an offer is extended.

Associated appointments are generally made for a period of one year, unless a shorter period is appropriate to the circumstances. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a semester-by-semester basis.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty, with the exception that the review does not proceed to the college level if the department chair's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative. The approval of the faculty adheres to the voting policy for reappointments (i.e., two-thirds of the votes of the eligible faculty must be positive).

6 Courtesy Appointments for Faculty

For courtesy appointments there must be evidence that the candidate has the potential to make the appropriate contribution(s) to the mission of the department.

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 by the T&L Advisory Committee. If the proposal is approved, 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

At the beginning of each calendar year and when each new faculty member is hired, the department chair provides each faculty member with a prototype of the Annual Summary Activity Form on which each faculty member shall list her/his activities for the previous calendar year from January 1st to December 31st and goals, including a scholarship plan, for the next calendar year. The information documented on the Annual Report shall be the basis on which faculty members are evaluated yearly.

The Annual Review must also be considered relative to the current workload policy adopted by the Department of Teaching and Learning and the Regional Campuses as discussed in the Department and/or relevant Campus Pattern of Administration.

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 scholarship, teaching, 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.

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 in early Spring Semester (date to be determined annually by the chair). Annual Reviews are conducted during Spring Semester.

The department chair is required (per Faculty Rule 3335-3-35 [<https://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html>]) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04 [<https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>]) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

A Probationary Tenure Track Faculty

These procedures shall be consistent with Faculty Rule 3335-6-03 (C) (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) as well as with Office of Academic Affairs policies described in the Office of Academic Affairs Policies and Procedures Handbook (<https://oaa.osu.edu/policies-and-procedures-handbook>.) Below is relevant material from the Faculty Rules regarding annual reviews for probationary faculty.

Every probationary tenure track faculty member is reviewed annually by the chair, who meets with the faculty member to discuss his or her performance and, future plans and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. In cases where the chair believes that non-renewal may be warranted, the chair shall solicit assistance and participation from the Promotion & Tenure Committee with the evaluation process.

If the department chair recommends renewal of the appointment, this recommendation is final. The department chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The chair provides recommendations for the probationary faculty member's continued growth toward promotion and tenure. 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 of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-04 [<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>]) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

1 Regional Campus Faculty

Annual review of the probationary faculty member is first conducted on the regional campus, with a focus on teaching and service. The review then moves to the department and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the department, the department chair discusses the matter with the regional campus dean/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice. In the event the Chair or the Dean/Director of a regional campus renders a negative recommendation then the Fourth-Year Review process is invoked as described below.

2 Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean (not the department chair) makes the final decision regarding renewal or 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. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment.

The Promotion & Tenure Committee, on behalf of 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 (per Faculty Rule 3335-6-04 [<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>] is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal.

3 Exclusion of Time from Probationary Period

Faculty Rule 3335-6-03 (D) (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) sets forth the conditions under which a probationary tenure track 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 Handbook](https://oaa.osu.edu/policies-and-procedures-handbook) (<https://oaa.osu.edu/policies-and-procedures-handbook>).

B Tenured Faculty

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

D Clinical Faculty

The annual review process for clinical probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty respectively, except that non-probationary clinical faculty may participate in the review of clinical faculty of lower rank.

In the penultimate contract year of a clinical faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If the position 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 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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 proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

E 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 chair's recommendation on 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 scholarship, teaching, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. For the purpose of contextualization, 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 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 primary information upon which the merit decision shall be made is that provided by each faculty member in the annual review document, for probationary and tenured faculty members, respectively. Further information such as participating in and contributing to the program, mission, and on-going

functions of the Department, College, and University, and collaboration activities may be sought by the department chair. If the faculty member wishes to point out some exceptional circumstances that are not covered in the main portion of the annual review document, he or she can put forth a written explanation.

In using professional judgment to assess each faculty member, the department chair will consider the department mission together with the goals of each faculty member, and the nature of the faculty member's appointment as the faculty member's contributions and professional activities in the OAA areas are examined. To determine merit increases for each faculty member, the department chair will be expected to recognize that differences will and should exist across the faculty and consideration should be given for the demands of different pursuits as well as the opportunity and resources they are afforded.

The department chair should pursue equity adjustments based upon an assessment of whether a faculty member's salary falls below what might be considered an accepted range for faculty with such seniority, professional contributions, rank, and qualifications.

The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations.

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

Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs 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, including the documentation of teaching is forwarded when the review moves beyond the department. The documentation of scholarship and service 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.

The annual performance review of every faculty member requires two summary documents to be submitted to the department chair during early Spring Semester.

- updated CV/Dossier which may be made available to all faculty in an accessible place
- Annual Summary Activity Form created by the department chair

The department chair may request additional documentation or information relative to scholarship, teaching, or service to complement or clarify the accomplishments of faculty.

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

VII Promotion and Tenure and Promotion Reviews

A Criteria

Faculty Rule 3335-6-02 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) provides

the following context for promotion and tenure and promotion reviews:

In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in 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.

1 Promotion to Associate Professor with Tenure

Faculty Rule 3335-6-02 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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; and can be expected to continue a program of high-quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.

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

The time period for material included in the dossier for probationary faculty is the date of hire to present. 7 For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present.

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'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'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 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 scholarship, teaching, and 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 (<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>).

The accomplishments listed below, in the areas of scholarship, teaching, and 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 appointment without tenure was offered.

Scholarship

We embrace broad views of scholarship and recognize that over the course of a career a faculty member may, and likely will, be engaged in more than one type of scholarship. A portion of a faculty member's time will be spent in engaging in scholarship, and these activities must be fully documented in ways consistent with the pursuit.

Peer-reviewed scholarly reports and activities such as grants and other scholarly projects, both sole and co-authored, will continue to be considered an essential component of scholarship; however, the nature, function and outlets of scholarship will be broadened to more fully encompass the mission and core values of the Department and College and to more genuinely reflect the integration of scholarship,

teaching, and service. In addition to peer-reviewed scholarly reports and journal articles, non-traditional forms of scholarship and projects are considered appropriate by the Department of Teaching and Learning and by the College of Education and Human Ecology. Such publications and projects should also be fully documented in scholarship plans and annual reviews, as well as in dossiers for promotion and tenure.

For purposes of promotion and tenure review, the processes and products of scholarship are considered to be comprised of, but not limited to, the following components:

- Scholarly books (other than edited volumes) and research monographs;
- Chapters in edited scholarly books;
- Edited scholarly books (indicate editing process);
- Editorship of scholarly, refereed journals (indicate editing process);
- Research bulletins, technical reports, and education reports (e.g., National Commissions);
- Peer reviewed journal articles;
- Editor reviewed journal articles;
- Reviews, abstracts in journals and other venues, for example, encyclopedias (indicate review process);
- Non-juried scholarly publications (newsletter articles, ERIC documents, position papers);
- Papers in proceedings (indicate review process);
- Unpublished scholarly presentations at conference (indicate review process);
- Submission of research proposals for outside funding and securing funding;
- Creative work related to field, such as novels, essays, poetry, and other works for broader audiences;
- The implementation of long-term research projects from which results will not be expected for a period of years;
- Teacher as researcher activities within one's own university classroom or other teaching relationships;
- The development of collaborative relationships inside and outside of the university and work within these relationships in which the faculty member may have a more facilitative role rather than an actual production role (e.g., writing that results from these relationships may not ultimately involve the faculty member as an author of a specific piece or pieces, but instead as editor of a collection, writer of an introduction to a collection, etc. For instance, faculty members may be instrumental in getting classroom teachers to write about the processes of teaching and learning);
- The development of long term collaborative studies with schools and communities; interdisciplinary research and development projects; etc.;
- The development and use of new technologies, including critical approaches to these

technologies.

For promotion to associate professor with tenure, a faculty member is expected to provide convincing evidence of high quality scholarship via:

- The publishing or producing of a body of work in high-quality peer-reviewed or other rigorously-reviewed venues (e.g., journal articles, books, monographs, policy position papers, newspaper editorials, reports to schools and other agencies, creative and artistic outlets).
- Coherent, focused line or lines of inquiry that make a unique contribution to the field, and may include a reanalysis of earlier work.
- The demonstration of a high degree of ethics in the conduct of research and other forms of scholarship including, but not limited to, full and timely adherence to all regulations, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

The candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.

For promotion to associate professor with tenure, a faculty member is expected to provide convincing evidence of the impact of scholarship by demonstrating that such work:

- Is beginning to be favorably cited (e.g., impact factor of journals; a beginning trend of positive citations in other researchers' publications or other publications).
- Is beginning to show evidence of influence on the subsequent scholarly work or activities of others (e.g., researchers, educators, practitioners, policy makers).
- Shows evidence of developing a national and/or international reputation in the candidate's field as evidenced by external evaluations of scholarship, invitations to present at recognized prestigious forums/gatherings/conferences, and invitations to review research papers and grant proposals, and/or is beginning to demonstrate the ability to obtain external funding (i.e., external to the Department of T&L).

The candidate should provide a self-assessment of the quality and impact of her or his scholarship in the relevant narrative section of the dossier for review by the eligible faculty.

Teaching

Teaching is defined to include the pursuit of quality teaching methods and content in the courses offered by the Department and in other instructional contexts (e.g., individual studies; research apprenticeships as well as advisement of undergraduate, masters, and doctoral students by faculty of the department. Teaching involves not only sharing knowledge but also transforming, extending, and generating it. In the Department of Teaching and Learning, we recognize that knowledge may not only be shared but also generated and acquired through teaching. Teaching should have impact on and relevance to those involved in the activity of teaching.

For purposes of promotion and tenure reviews, teaching must include:

- The teaching or co-teaching of university courses on or off campus or via electronic technology.
- Serving as an advisor and/or co-advisor to an appropriate number of students given the department's student/faculty ratio and the faculty member's area(s) of expertise.

Teaching may also include, but is not limited to, the following components:

- Engaging in the improvement of curriculum through revision or new development of courses and/or academic programs.
- Workshops/seminars sessions on and off campus
- Supervision of students in practica and in supervised teaching and collaborative venues such as inclusive or co-teaching school settings.
- Development of teaching materials (paper, video tapes, CDs, Web pages, etc.) to be used on- and/or off-campus settings (e.g., in the University classroom or in the schools). This includes the development and refinement of syllabi and other materials related to courses and supervision settings.
- Contributions to the development and refinement of programs and curricula within the Department and College.
- Published reviews or works that are designed primarily for University classrooms and other teaching settings. Products in this area may include monographs, manuals, how-to texts,

educational materials for learners across the life span, from young children to adults, both in and outside of educational settings.

- Advisement and mentoring of undergraduate and graduate students and organizations; presentations to students at all education levels (outside of students in candidate's classes). Advisement may include conducting independent studies with students, overseeing research apprenticeships, mentoring graduate students who are not advisees, assisting students with publications and other forms of co-authoring where appropriate.
- Involvement in undergraduate/graduate/professional exams, projects/theses/dissertations.
- Consultation and/or collaborative activities with inservice teachers, including service on curriculum committees and guest-teaching in the school classroom.
- The generating of external funding and/or other resources to support teaching.
- The development of new teaching strategies and methods through the faculty member's direct involvement in K-12 classrooms as a teacher rather than a researcher.
- The development of teacher preparation or professional development programs with documented success.

For promotion to associate professor with tenure, a faculty member is expected to present convincing evidence of high quality teaching and evidence of impact.

Convincing evidence of high quality teaching should entail peer evaluations of teaching (including review of instructional materials) and student evaluations (e.g., SEI, written comments) that reveal the candidate has:

- 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 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.
- Engaged in documentable efforts to improve teaching.

Convincing evidence of impact may include, but not be limited to:

- The extent to which pedagogical or other (e.g., digital) materials developed by the candidate have been adopted by other faculty within OSU and at other institutions;
- The extent to which the candidate provides expertise on teaching at Ohio State, in professional societies, at other institutions, and in the local communities (e.g., schools and other agencies).
- Teaching awards or other recognitions;
- Assessment of the success of the candidate's current and former students (e.g., job placements; leadership roles).
- Other evidence related to the components of teaching delineated above.

It is also expected that the candidate will provide evidence of having engaged in:

- The improvement of curriculum through revision or new development of courses and/or academic programs; and

- Serving as advisor to an appropriate number of students given the department's student/faculty ratio and the faculty member's area(s) of expertise

The candidate should also provide in the relevant section of the dossier a self-assessment of convincing evidence of high quality and impact relevant to the teaching domain.

Service

Faculty members are expected by the university and the public-at-large to make their professional knowledge and skills available to the local community, state, nation, and world. In addition, as professionals committed to governance by peers, there are many internal activities that must be performed to maintain the operations of the institution. Thus, engagement in service on campus, to the community, as well as to academic and professional organizations is an important component of the faculty member's obligation.

Expectations for engagement with service to the institution and the profession both change and increase as a faculty member's career advances. Expectations for service on and off campus are to engage in a balanced range of activities and in doing so to have begun to establish an on-campus presence, and a local, state, regional, national or international presence.

For promotion to associate professor with tenure, a faculty member is expected to present evidence that she or he has:

- Made initial contributions to the governance of the department in a manner that facilitates positive contributions by others; and
- Demonstrated the potential for useful contributions to the profession (e.g., leadership roles, service on professional committees, editorial boards of journals).

2 Promotion to Professor

Faculty Rule 3335-6-02 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service.

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

A candidate for professor is expected to have demonstrated that his or her scholarship has made a significant, high quality and coherent contribution, nationally or internationally, to social and/or educational problems and/or issues.

Thus, a professor's presence and leadership should be fully established on-campus and off-campus. While balance in engagement and some national presence is important, a candidate may place his/her emphasis (local, state-wide, regional, national, or international) according to his/her interests. A faculty member whose work is primarily local, however, should be able to show that the results and impact of local work has been disseminated in ways that impact the field nationally or even internationally. Faculty

are encouraged to represent their distinct professional identities as a member of the department's diverse faculty.

When assessing a candidate's national and/or international reputation in the field, a national and/or 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 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>), 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.

The candidate is expected to provide a self-assessment of the quality and impact of his or her scholarship, teaching, and service in the relevant sections of the dossier for review by the eligible faculty.

3 Regional Campus Faculty

The primary function of the regional campuses is to provide high-quality 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 will give greater emphasis to the quality of teaching and service relative to scholarship. Recognizing that the character and quantity of scholarship by regional campus faculty may differ from that of 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.

4 Clinical Faculty

Promotion to Assistant Professor of Clinical Teaching and Learning. For promotion to assistant professor of Clinical Teaching and Learning, a faculty member must complete his/her doctoral degree and meet the required licensure/certification in his or her specialty and be performing satisfactorily in teaching, professional practice, and service.

Promotion to Associate Professor of Clinical Teaching and Learning. For promotion to associate professor of Clinical Teaching and Learning, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of this department. Specific criteria in teaching and service for promotion to associate professor-clinical are similar to those for promotion to associate professor with tenure. Scholarship activity is not expected.

Promotion to Professor of Clinical Teaching and Learning. For promotion to professor of Clinical Teaching and Learning, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to this department and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

B Procedures

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) and the Office Academic Affairs annually updated procedural guidelines for promotion and

tenure reviews found in Volume 3 of the Policies and Procedures Handbook (<https://oaa.osu.edu/policies-and-procedures-handbook>). The following sections, which state the responsibilities of each party to the review process, apply to all faculty s in the department.

1 Candidate Responsibilities

Candidates are responsible for submitting a complete, accurate dossier fully consistent with Office of Academic Affairs 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 outline including, but not limited to, those highlighted on the checklist.

A candidate should submit a copy of the department's APT Document that was in effect at the time of his/her 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.

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee by mid-Spring. 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 in the subsequent academic year (i.e., in the Fall semester) and to decide whether it is appropriate for such a review to take place. Faculty members should declare their intention early in Spring semester prior to the academic year in which they are seeking a non-mandatory review. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds 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 dossier and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). The candidate should provide at least three scholarly publications. Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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 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 chair 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 or 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 chair, or any other party to the review to making a positive recommendation during the review itself. If a negative decision to allow a formal promotion review is rendered by the Promotion and Tenure Committee, the candidate has the option of requesting a department-wide faculty vote to obtain a formal non-mandatory review.

- 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 annual procedural guidelines.
 - **Mid-Spring:** Suggest names of external evaluators to the Department chair.
 - **Summer; early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the 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. This meeting is not an occasion to debate the candidate's record.
 - Draft a summary of the candidate's performance in scholarship, teaching, and service, based on data sources (e.g., dossier, SEIs, internal & external letters, sample publications), including the candidate's self-assessments, research statement, and teaching statement. The eligible faculty should review these data sources prior to the deliberation meeting. The draft is a summary of information, not a letter, which is provided at the deliberation meeting for discussion purposes (e.g., evaluation of strengths, issues, any inconsistent evidence). The Promotion & Tenure Committee neither votes on cases nor takes a position in presenting this summary of the record and data sources.
 - Draft a letter following the faculty meeting to include the faculty vote and a summary of the faculty perspectives expressed during the meeting. This letter should be made available to the faculty, present at the deliberation meeting, for perusal—allowing a reasonable amount of time for the review and comment process. The final version of the letter (i.e., written evaluation) and recommendation should be forwarded to the department chair.

- Provide a written response, on behalf of the eligible faculty, to any candidate's comments that warrant response, for inclusion in the dossier.
- Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure-initiating unit 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 (e.g., sources of data) in advance of the meeting at which the candidate's case will be discussed.
- To attend all deliberation meetings of the voting-eligible faculty 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 chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- **Late Spring/Early Summer Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the department chair, and the candidate.
- To make adequate copies of each candidate's dossier (e.g., sources of data) available in an accessible place (e.g., online) 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 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 faculty vote.

- To inform each candidate in writing after completion of the department review process:
 - of the recommendations by the eligible faculty and department chair
 - of the availability for review of the written evaluations by the eligible faculty and department chair
 - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the 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's comments that warrants response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair 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 units, and to forward this material, along with the department chair'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 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 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 and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical faculty members 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 (or other performance, if relevant) 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. This department will only solicit evaluations from associate or full professors at institutions comparable to Ohio State. Evaluations must come from faculty at or above the rank for which the candidate is seeking promotion.

- 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 in a time-frame that will allow for a full and thorough review by the committee of eligible faculty. 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 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 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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.

The department follows the Office of Academic Affairs suggested format, provided at <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.

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 (i.e., 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. Although 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, including the documentation of teaching noted in bold below, is forwarded when the review moves beyond the department. The documentation of scholarship and 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. Electronic copies of publications are acceptable and desirable.

- 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 time period since the last promotion or the last five years, whichever is less:

- Cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class or a department approved alternative by the Promotion & Tenure Committee
- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching Program
- Other relevant documentation of teaching including, but not excluded to, revised course syllabi, reflections on ways to improve and/or update instruction.

2 Scholarship

For the time period since the last promotion:

- Copies (paper or electronic) of all books, articles, book chapters, 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 (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
 - other relevant documentation of scholarship, that falls outside of publications, grants, and other relevant creative work, as deemed appropriate by the candidate

3 Service

For the time period since the last promotion:

- Documentation of service activities internally, at the departmental, college, and university levels; and externally, on editorial boards, educational organizations (NCTE, AERA, NCTM, LRA, etc.), and community organizations.

VIII Appeals

Faculty Rule 3335-6-05 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>).

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 3335-6-05 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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

University Rule 3335-3-35 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html>) requires that students are given the opportunity to evaluate the quality of instruction provided in each of their courses. The 10-item SEI document is the official university-wide instrument provided for this purpose. Online SEIs are automatically generated for all instructors. Excluded course types not automatically enrolled in online SEIs include courses with catalog number 999, 998 or courses with numbers that end in 93. Independent Study (IND) or Field Experience (FLD) courses are generally excluded from automatic SEI reports.

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in this department. Instructors should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation.

B Peer Evaluation of Teaching

Peer evaluations are arrived at through systematic observation of teaching. Peer review of teaching focuses on course content, as well as clarity and appropriateness of delivery and degree of engaging the students in the learning process within the confines of the given nature of the course.

Tenured faculty will engage in peer evaluations of teaching on an ad-hoc basis. Such assignments will be made by the department chair, in consultation with the chair of the Promotion and Tenure Committee. Depending on the volume of peer review activity required, a Peer Review of Teaching Committee may be formed on an ad-hoc basis to support this work. This committee will be constituted by the department chair in consultation with the chair of the Promotion and Tenure committee.

The responsibilities related to peer review of teaching are as follows:

- To review the teaching of probationary tenure track and clinical faculty at least once per year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned in the course of each probationary year
- To review the teaching of tenured associate professors at least three times prior to their intent to seek professorship. To review non-probationary clinical faculty at the rank of associate professor upon request by the department chair, with the goal of assessing teaching at all the levels of

instruction to which the faculty member is assigned over a three year period

- To review, *upon the department chair's request*, the 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 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. Faculty seeking formative reviews should also seek the services of the University Center for the Advancement of Teaching (www.ucat.osu.edu).

Regularly scheduled peer teaching evaluations are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by a peer of higher rank than 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. Peer review focuses on course content, as well as clarity and appropriateness of delivery and degree of engaging the students in the learning process within the confines of the given nature of the course. 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 and the chair of the Promotion and Tenure Committee, 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.