

Appointments, Promotion, and Tenure Criteria and Procedures
Department of Civil, Environmental and Geodetic Engineering
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I Preamble

This document is a supplement to Chapter 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu/rules/university-rules.html>); the annually updated procedural guidelines for promotion and tenure reviews in Book 3 of the Office of Academic Affairs Policy and Procedures Handbook (<http://oaa.osu.edu/handbook.html>); and other policies and procedures of the college and university to which the department and its faculty are subject.

Should those rules and policies change, the department will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the department chair.

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

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (<http://trustees.osu.edu/rules/university-rules.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 (<http://trustees.osu.edu/rules/university-rules.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 (<http://hr.osu.edu/policy/policy110.pdf>).

II Department Mission

We will continue to be the premier department in the fields of civil engineering, environmental engineering, and geoinformation and geodetic engineering in the State of Ohio, become ranked among the top ten public universities nationally, and compete with the best programs internationally.

The Department will form an entity that integrates effective teaching from the sophomore year through the Ph.D. while reinforcing existing, nationally and internationally recognized programs in Civil, Environmental and Geodetic Engineering. Augmented by strong research and related activities, our students will receive an education that reflects and embodies the current state-of-the-art.

Moreover, it is becoming increasingly important to develop teaching methodologies and technologies that increase the efficiency of the learning process.

In order that the Department will be perceived by students, faculty, alumni, and professionals everywhere as a leader in teaching, research, and service, we will provide an environment that encourages:

- learning by all of our students,
- scholarship by all of our faculty,

- interdisciplinary research and teaching,
- service to our College, University, and society,
- diversity in population,
- professional activity and leadership and national and international recognition
- mentoring of students and younger faculty,
- continuous improvement of delivery of instruction,
- strong interaction with and support of the alumni,
- support by industry

Our mission is to (1) provide undergraduate and graduate education, derived from and based on active research, and to serve as a focal point for academic programs in civil engineering, environmental engineering, and geoinformation and geodetic engineering, and (2) provide innovative instruction in these programs. The Department will create and disseminate knowledge in these areas and provide service to society through leadership in scientific and professional organizations as well as individual public service. This dissemination will be achieved through the creation of a Department administration that emphasizes collegial and professional relations amongst faculty, staff, and students, a thorough response to student, faculty, and alumni, and practitioner concerns, and open consultative decision-making. More specifically, the mission of the Department is to:

- Serve as a center of excellence for research and teaching undergraduate and graduate studies in construction engineering and management, environmental engineering, geotechnical engineering, hydraulic engineering, structural engineering, transportation engineering, and geoinformation and geodetic engineering;
- Continue to strengthen the graduate degree program in the department;
- Continue to develop the two existing strong, accredited undergraduate programs in Civil Engineering and Environmental Engineering;
- Promote synergies within the Department, College, and University in five Strategic Systems:
 - environment (ecological and environmental engineering, environmental fluid mechanics);
 - infrastructure (construction, materials, structures, sustainable growth and preservation);
 - geodetic and geoinformation science (GIS, image understanding, photogrammetry, remote sensing);
 - transportation (planning, analysis, design, operations, control), and;
 - science and engineering workforce development.

III Definitions

A Committee of the Eligible Faculty

1 Regular Tenure Track Faculty

The eligible faculty for appointment reviews of regular tenure track faculty consists of all tenure track faculty whose tenure resides in the department.

The eligible faculty for reappointment, promotion and tenure, and promotion reviews of regular 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 Regular Clinical Track Faculty

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

The eligible faculty for reappointment, contract renewal, and promotion of regular clinical track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department and all nonprobationary regular clinical track faculty of 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 Regular Research Track Faculty

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

The eligible faculty for reappointment, contract renewal, and promotion reviews of regular research track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department, all nonprobationary clinical track faculty of higher rank than the candidate whose primary appointment is in the department, and all nonprobationary research track faculty of 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.

4 Conflict of Interest

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

5 Minimum Composition

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

B Promotion and Tenure Committee

The 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 at least three professors. The committee's chair and membership are appointed by the department chair. The term of service is typically three years, with reappointment possible.

In the event that the department does not have at least three eligible faculty members who can serve on the Promotion and Tenure Committee, the department chair, after consulting with the dean, will appoint a faculty member from another department within the college.

The department chair, college dean, college associate and assistant deans, vice provosts, provost, and president may not be members of the department's Promotion and Tenure Committee. The department chair may attend meetings at which promotion and tenure matters are discussed and may respond to questions, but may not vote.

When considering cases involving regular clinical track faculty the Promotion and Tenure Committee may be augmented by a nonprobationary regular clinical track faculty member.

When considering cases involving regular research track faculty the Promotion and Tenure Committee may be augmented by a nonprobationary regular clinical track faculty member and a nonprobationary regular research track faculty member.

C Quorum

The quorum required to discuss and vote on all personnel decisions is 60% of the eligible faculty who are not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the department chair has approved an off-campus assignment.

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

D Recommendation from the Committee of the Eligible Faculty

In all votes taken on personnel matters only "yes" and "no" votes are counted. Abstentions are not votes. Faculty members are strongly encouraged to consider whether they are participating fully in the review process when abstaining from a vote on a personnel matter.

Absentee ballots and proxy votes are not permitted.

1 Appointment

In order to extend an offer to a candidate, 60% of the yes or no votes cast must be positive. If the faculty search extends into the summer quarter, then the Department Chair consults with the search committee and available faculty. In this case, an email vote would be conducted, if a special meeting of the faculty cannot be arranged.

If a faculty offer involves senior rank, the eligible voting faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. In both instances, of those votes two-thirds must be positive for the senior rank or prior service credit to be approved.

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

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

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

IV Appointments

A Criteria

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

1 Regular Tenure Track Faculty

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

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This written 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, justifiable and approved request for extension of the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. An earned doctorate 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 at senior rank requires that the individual, at a minimum, meet the department's criteria in teaching, research, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. 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.

2 Regular Tenure Track Faculty—Regional Campus

The Civil, Environmental and Geodetic Engineering (CEG) Department has no programs on regional campuses.

3 Regular Clinical Track Faculty

Appointment of regular clinical track faculty as Instructor of Practice, Assistant Professor of Practice, Associate Professor of Practice or Professor of Practice on the basis of qualification can be made in the Department. Appointment of regular clinical track faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to regular clinical track faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule 3335-7 (<http://trustees.osu.edu/rules/university-rules.html>). The primary duties of clinical track faculty is teaching and professional practice and service.

Instructor of Practice. Appointment is normally made at the rank of Instructor of Practice when the appointee has not completed the requirements for the terminal degree or has not obtained the required licensure/certification at the time of appointment. The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to a four-year contract. In such cases, if the instructor has not completed requirements for promotion to the rank of Assistant Professor of Practice by the beginning of the penultimate year of the contract period, a new contract will not be considered, even if performance is otherwise adequate and the position itself will continue.

Assistant Professor of Practice. An earned doctorate and the required licensure/certification in his or her specialty (or other exceptional qualifications) are the minimum requirements for appointment at the rank of Assistant Professor of Practice. Evidence of ability to teach is highly desirable.

Associate Professor of Practice and Professor of Practice. Appointment at the rank of Associate Professor of Practice or Professor of Practice requires that the individual have the earned doctorate and the required licensure/certification in his/her specialty (or other exceptional qualifications), and meet, at a minimum, the department's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks. Scholarship and professional service activities of clinical track faculty would be expected to emphasize outreach and interaction with constituencies beyond the research community, such as with industry, the broader educational community, and the broad community of practitioners.

4 Regular Research Track Faculty

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

Research Assistant Professor. Appointment at the rank of research assistant professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program.

Research Associate Professor and Research Professor. Appointment at the rank of research associate professor or research professor requires that the individual have a doctorate and meet, at a minimum, the department's criteria in research for promotion to these ranks.

5 Auxiliary Faculty

Auxiliary appointments are made for no more than one year at a time.

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments are never compensated. Adjunct faculty appointments are given to individuals who volunteer considerable uncompensated 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 regular tenure track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular tenure track faculty.

Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor. Auxiliary clinical appointments may either be compensated or not compensated. Auxiliary clinical rank is determined by applying the criteria for appointment of regular clinical track faculty. Auxiliary clinical faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular clinical 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 or promotion.

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, and Professor with FTE below 50%. Appointment at regular titles is for individuals at 49% FTE or below, either compensated or uncompensated. The rank of auxiliary faculty with regular titles is determined by applying the criteria for appointment of regular tenure track faculty. Auxiliary faculty members with regular titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular 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 regular faculty) individuals are appointed is determined by applying the criteria for appointment of regular 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.

6 Courtesy Appointments for Regular Faculty

Occasionally the active academic involvement in this department by a regular 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 and title, with promotion in rank recognized.

B Procedures

See Volume 1 in the Office of Academic Affairs [Policies and Procedures Handbook](http://oaa.osu.edu/handbook.html) (<http://oaa.osu.edu/handbook.html>) on the following topics:

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

1 Regular Tenure Track Faculty

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in the most recent update of [A Guide to Effective Searches](http://www.hr.osu.edu/hrpubs/guidesearches.pdf) (www.hr.osu.edu/hrpubs/guidesearches.pdf).

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.

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 (www.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. The search committee must assure that at least one print (as opposed to on-line) 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 print journal.
- Screens applications and letters of recommendation and presents to the department chair a summary of those applicants (usually three to five) judged worthy of interview. If the department chair agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the department office.

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 research. All candidates interviewing for a particular position must follow the same interview format.

If the faculty does not agree on a candidate, the search committee in consultation with the department chair determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being). In the event that more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair.

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 Regular Tenure Track Faculty—Regional Campus

The CEG Department has no programs on regional campuses.

3 Regular Clinical Track Faculty

Searches for regular clinical track 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 require approval by the college dean.

4 Regular Research Track Faculty

Searches for regular research track faculty generally proceed identically as for tenure track faculty.

5 Transfer of track

Regular tenure track faculty may transfer to a clinical or research track 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 regular clinical track and from the regular research track to the tenure track are not permitted. Regular clinical track faculty members and regular clinical track faculty members may apply for tenure track positions and compete in regular national searches for such positions.

6 Auxiliary Faculty

The appointment, review, and reappointment of all compensated auxiliary faculty is decided by the department chair in consultation with the department Executive Committee.

Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. The proposal is considered at a regular faculty meeting and if approved by the faculty, the department chair extends an offer.

Auxiliary appointments are generally made for a period of one year, unless a shorter period is appropriate to the circumstances. All auxiliary appointments expire at the end of the appointment term and must be formally renewed to be continued. Adjunct appointments may be renewed only when the uncompensated academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a semester by semester basis.

Auxiliary faculty for whom promotion is a possibility follow the appointment guidelines and procedures for regular faculty (see Appointment Criteria above), 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.

7 Courtesy Appointments for Regular Faculty

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

V Annual Review Procedures

The department follows the requirements for annual reviews as set forth in the Faculty Policy on Annual Review in the Office of Academic Affairs [Policies and Procedures Handbook](http://oaa.osu.edu/assets/files/documents/annualreview.pdf) (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).

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

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 time for annual review, as determined by the chair.

The department chair is required (per Faculty Rule 3335-3-35 (<http://trustees.osu.edu/rules/university-rules.html>)) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04 (<http://trustees.osu.edu/rules/university-rules.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

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.

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 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 (<http://trustees.osu.edu/rules/university-rules.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

The CEG Department has no programs on regional campuses.

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 not required and the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment. External evaluations may be requested by the P&T Committee Chair if a credible evaluation of the candidate's scholarship or professional service record cannot be performed without them.

The Promotion and Tenure Committee 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 (<http://trustees.osu.edu/rules/university-rules.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) (<http://trustees.osu.edu/rules/university-rules.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 (<http://oaa.osu.edu/handbook.html>).

B Tenured Faculty

Associate professors are reviewed annually by the department chair, who submits a written performance review along with comments on the faculty member's progress toward promotion. 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.

Professors 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

The CEG Department has no faculty on regional campuses.

D Regular Clinical Track Faculty

The annual review process for regular clinical track probationary and nonprobationary faculty is identical to that for tenure track probationary and tenured faculty, respectively.

In the penultimate contract year of a regular 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 (<http://trustees.osu.edu/rules/university-rules.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 regular tenure track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

E Regular Research Track Faculty

The annual review process for regular research track probationary and nonprobationary faculty is identical to that for tenure track probationary and tenured faculty, except that nonprobationary regular research faculty may participate in the review of regular research faculty of lower rank.

In the penultimate contract year of a regular research faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If it will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu/rules/university-rules.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 follows the review procedures at the department level for promotion of regular research track faculty with the exception that external letters are not necessary unless promotion is being considered. There is no presumption of renewal of contract.

VI Merit Salary Increases and Other Rewards

A Criteria

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

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

Meritorious performance in teaching, research, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The review will be conducted every 12 months, with attention to patterns of increasing or declining productivity over a three-year time period. 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 department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. Salary increases are formulated in percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate.

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

C Documentation

The annual performance review of every faculty member requires that all documentation described below, including the two summary documents, be submitted to the department chair at a date prescribed by the chair.

- updated CV, which will be made available to all faculty in an accessible place. All new faculty (those hired since 2008) will use Research in View (RIV) software for preparing the dossier.
- updated Office of Academic Affairs dossier outline, Volume 3 (<http://oaa.osu.edu/handbook.html>)

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

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

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

1 Teaching

Cumulative SEI reports (Student Evaluation of Instruction) and computer-generated summaries prepared by the Office of the University Registrar for every class taught by the faculty member.

Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program. See the description of peer evaluation in Section X B.

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

Other relevant documentation of teaching as appropriate.

2 Scholarship

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

Documentation of grants and contracts received.

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

3 Service

Any available documentation of the quality of service that enhances the list of service activities in the dossier.

VII Promotion and Tenure and Promotion Reviews

A Criteria

Faculty Rule 3335-6-02 (<http://www.trustees.osu.edu/rules/university-rules.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 (<http://trustees.osu.edu/rules/university-rules.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 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 teaching, research, 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 teaching, research, 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.

Teaching

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

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

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

Scholarship

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

- Published a body of work in high-quality peer-reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:
 - quality, impact, quantity
 - unique contribution to a line of inquiry or repackaging of earlier work
 - Rigor of the peer-review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published research more than unpublished research, and original works more than edited works.
 - empirical work, demonstrating the candidate's ability to conduct such work and to mentor future researchers, is preferred to synthetic work at this stage of career
 - While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
- A demonstrated ability to obtain and potential to sustain research program funding. Competitive peer-reviewed funding is weighted more favorably than other types, since it serves as a quality indicator of research programs, and grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done. Research funding is a means to an end; funding that has not led to research productivity is disregarded in the review.
- A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from

one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.

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

Service

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

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

2 Promotion to Associate Professor without Tenure

Faculty members who are promoted without the award of tenure must be considered for tenure no later than the mandatory review date or six years following promotion, whichever comes first.

3 Promotion to Professor

Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules.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.

For promotion to professor, a faculty member is expected to be a role model for faculty, for students, and for the profession. Assessment takes place in relation to specific assigned responsibilities, with exceptional performance in these required responsibilities. The specific criteria in teaching, research, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and increasing quality of contributions, a record of continuing professional growth, and evidence of established national and international reputation in the field.

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.

4 Regional Campus Faculty

The Department of Civil, Environmental and Geodetic Engineering does not have programs on the regional campuses.

5 Regular Clinical Track Faculty

Promotion to Assistant Professor of Practice. For promotion to Assistant Professor of Practice, a faculty member must complete his/her doctoral degree and meet the required licensure/certification in his/her specialty (or other exceptional qualifications) and be performing satisfactorily in teaching, professional practice, and service.

Promotion to Associate Professor of Practice. For promotion to Associate Professor of Practice, a faculty member must have an earned doctorate and meet the required licensure/certification in his/her specialty (or other exceptional qualifications) and 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 Practice. For promotion to Professor of Practice, a faculty member must have an earned doctorate and meet the required licensure/certification in his/her specialty (or other exceptional qualifications) and 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.

6 Regular Research Track Faculty

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

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

B Procedures

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.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 (<http://oaa.osu.edu/handbook.html>). The following sections, which state the responsibilities of each party to the review process, apply to all faculty tracks 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.

If external evaluations are required, the department chair is responsible for reviewing the list of potential external evaluators developed by the candidate and the Promotion and Tenure Committee. The candidate is encouraged to provide at least three 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. The final list shall contain no more than three of the names provided by the candidate and no less than two names (Also see EXTERNAL EVALUATIONS below.)

2 Promotion and Tenure Committee Responsibilities

The department has a Promotion and Tenure Committee, normally consisting of three professors. Additional members may be added to the Promotion and Tenure Committee. The committee's chair and membership are appointed by the department chair. The term of service is three years, with reappointment possible. 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 following academic year and to decide whether it is appropriate for such a review to take place.
 - The Promotion and Tenure 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). Lack of the required documentation is 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 (<http://trustees.osu.edu/rules/university-rules.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 Promotion and Tenure 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. Faculty members not eligible for tenure due to lack of citizenship or permanent residency can proceed through the mandatory review process, although they may not be eligible for tenure until receiving permanent residency status, per OAA guidelines (see OAA Handbook, Volume 1, Section 5.2).
- A decision by the Promotion and Tenure Committee to permit a review to take place in no way commits the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among the Promotion and Tenure Committee 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.

- **Late Spring:** Suggest names of external evaluators to the department chair. The department chair solicits external review letters over the summer so that they are available for the Promotion and Tenure Committee.
- **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 an analysis of the candidate's performance in teaching, research and service to provide to the full Voting Body with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The Promotion and Tenure Committee does not take a position in presenting its analysis of the record.
- Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
- Provide a written response, on behalf of the Voting Body, to any candidate 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 Voting Body 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 in advance of the meeting at which the candidate's case will be discussed.
- To attend all Voting Body meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

4 Department Chair Responsibilities

The responsibilities of the department 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 can proceed through the mandatory review process, although

they may not be eligible for tenure until receiving permanent residency status, per OAA guidelines (see OAA Handbook, Volume 1, Section 5.2).

- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also see EXTERNAL EVALUATIONS below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the Voting Body at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the Voting Body from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review. A conflict of interest exists when a Voting Body 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.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the Promotion and Tenure Committee's completed evaluation and recommendation.
- To meet with the Promotion and Tenure Committee to explain any recommendations contrary to the recommendation of the Committee.
- To inform each candidate in writing after completion of the department review process:
 - of the recommendations by the Promotion and Tenure Committee, Voting Body, and department chair
 - of the availability for review of the written evaluations by the Promotion and Tenure Committee, Voting Body, 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 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 auxiliary 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

The CEG Department has no programs on regional campuses.

6 External Evaluations

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

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

- Is written by a person highly qualified to judge the candidate's research (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 full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

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

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least two of those persons. Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.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/sampleddocuments.php>, 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 (such as requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

C Documentation

As noted above under CANDIDATE RESPONSIBILITIES, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the 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 SEI reports and peer evaluations of teaching noted below, is forwarded when the review moves beyond the department. The documentation of research 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.
- Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

1 Teaching

For 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
- peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (See section IX B for peer evaluation details)
- record of advising graduate students and serving on graduate committees
- copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- teaching activities as listed in the core dossier including
 - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
 - mentoring postdoctoral scholars and researchers
 - extension and continuing education instruction
 - involvement in curriculum development
 - awards and formal recognition of teaching
 - presentations on pedagogy and teaching at national and international conferences
 - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate, such as teaching awards given by student organizations, departmental committee, college committee and university committee.

2 Scholarship

For the time period since the last promotion:

- Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- documentation of grants and contracts received
- other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted)
- scholarship activities as listed in the core dossier including
 - documentation of creative works pertinent to the candidate's professional focus including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites
 - documentation of inventions, patents, disclosures, options and commercial licenses
 - list of prizes and awards for research, scholarly, or creative work

3 Service

For the time period since the last promotion:

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

VIII Appeals

Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules.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 (<http://trustees.osu.edu/rules/university-rules.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 (<http://trustees.osu.edu/rules/university-rules.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

Use of the electronic Student Evaluation of Instruction (SEI) form is required in every course offered in this department. This individual 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

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

The Promotion and Tenure Committee will recommend an annual review plan to the Department Chair for the peer review activity expected that year. Reasonable efforts are made to distribute these peer reviews among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the department. A peer reviewer must be of equal or higher rank than the faculty member being reviewed.

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

- to review the teaching of probationary tenure track faculty at least once per year for representative classes during their probationary period, with the goal of assessing teaching of the faculty member
- to review the teaching of tenured associate professors every other year, with the goal of assessing teaching of the faculty member
- to review the teaching of tenured full professors with the goal of assessing teaching of the faculty member, when deemed necessary.
- 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 (ucat.osu.edu).

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

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

The peer teaching evaluation process will be developed and sustained by the Promotion and Tenure Committee using resources from the University Center for the Advancement of Teaching (ucat.osu.edu).