

Appointments, Promotion, and Tenure Criteria and Procedures

Department of XXX

Revised: 06/15/15

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Sample document only. See OAA Policies and Procedures Handbook for guidelines/instructions.

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Sample document only. See OAA Policies and Procedures Handbook for guidelines/instructions.

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Sample APT Document

Sample document only. See OAA Policies and Procedures Handbook for guidelines/instructions.

1 **I Preamble**
2

3 This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty
4 (<http://trustees.osu.edu>); the annually updated procedural guidelines for promotion and tenure reviews in
5 Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook
6 (<http://oaa.osu.edu/handbook.html>); and other policies and procedures of the college and university to
7 which the department and its faculty are subject.
8

9 Should those rules and policies change, the department will follow the new rules and policies until such
10 time as it can update this document to reflect the changes. In addition, this document must be reviewed,
11 and either reaffirmed or revised, at least every four years on the appointment or reappointment of the
12 department chair.
13

14 This document must be approved by the dean of the college and the Office of Academic Affairs before it
15 may be implemented. It sets forth the department's mission and, in the context of that mission and the
16 missions of the college and university, its criteria and procedures for faculty appointments and for faculty
17 promotion, tenure and rewards, including salary increases. In approving this document, the dean and the
18 Office of Academic Affairs accept the mission and criteria of the department and delegate to it the
19 responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to
20 departmental mission and criteria.
21

22 The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01
23 (<http://trustees.osu.edu>) of the Administrative Code. In particular, all faculty members accept the
24 responsibility to participate fully and knowledgeably in review processes; to exercise the standards
25 established in Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) and other standards specific to this
26 department and college; and to make negative recommendations when these are warranted in order to
27 maintain and improve the quality of the faculty.
28

29 Decisions considering appointment, reappointment, and promotion and tenure will be free of
30 discrimination in accordance with the university's policy on equal opportunity
31 (<http://hr.osu.edu/policy/policy110.pdf>).
32

33 **II Department Mission**
34

35 *Include department mission statement.*
36 *Wording here must be the same as in the Pattern of Administration.*
37

38 **III Definitions**
39

40 **A Committee of the Eligible Faculty**
41

42 **1 Tenure-track Faculty**
43

44 The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty
45 whose tenure resides in the department. For an appointment at senior rank, a second vote is taken by the
46 faculty members eligible to vote on the rank under consideration.
47

48 *(The paragraph above should is not applicable if the department bases appointment decision on search*
49 *committee recommendations rather than a vote of the full faculty)*
50

Sample document only. See OAA Policies and Procedures Handbook for guidelines/instructions.

1 The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure, and
2 promotion reviews of tenure-track faculty consists of all tenured faculty of equal rank to or higher than
3 the candidate whose tenure resides in the department excluding the department chair, the dean and
4 assistant and associate deans of the college, the executive vice president and provost, and the president.
5

6 For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides
7 in the department excluding the department chair, the dean and assistant and associate deans of the
8 college, the executive vice president and provost, and the president.
9

10 **2 Clinical Faculty**

11
12 The eligible faculty for appointment reviews of clinical faculty consists of all tenure-track faculty whose
13 tenure resides in the department and all clinical faculty whose primary appointment is in the department.
14 For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the
15 rank under consideration.
16

17 *(The paragraph above should is not applicable if the department bases appointment decision on search*
18 *committee recommendations or other search mechanisms rather than a vote of the full faculty)*
19
20

21 The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion
22 of clinical faculty consists of all tenured faculty of equal rank to or higher than the candidate whose
23 tenure resides in the department and all nonprobationary clinical faculty of equal rank to or higher than
24 the candidate whose primary appointment is in the department excluding the department chair, the dean
25 and assistant and associate deans of the college, the executive vice president and provost, and the
26 president.
27

28 **3 Research Faculty**

29
30 The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty whose
31 tenure resides in the department, all clinical faculty whose primary appointment is in the department, and
32 all research faculty whose primary appointment is in the department. For an appointment at senior rank, a
33 second vote is taken by the faculty members eligible to vote on the rank under consideration.
34

35 *(The paragraph above should is not applicable if the department bases appointment decision on search*
36 *committee recommendations or other search mechanisms rather than a vote of the full faculty)*
37
38

39 The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion
40 reviews of research faculty consists of all tenured faculty of equal rank to or higher than the candidate
41 whose tenure resides in the department, all nonprobationary clinical faculty of equal rank to or higher
42 than the candidate whose primary appointment is in the department, and all nonprobationary research
43 faculty of equal rank to or higher than the candidate whose primary appointment is in the department
44 excluding the department chair, the dean and assistant and associate deans of the college, the executive
45 vice president and provost, and the president.
46

47 **4 Conflict of Interest**

48
49 A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable
50 close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some
51 way on the candidate's services, has a close professional relationship with the candidate (dissertation

Sample document only. See OAA Policies and Procedures Handbook for guidelines/instructions.

1 advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's
2 work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50%
3 of the candidate's published work since the last promotion will be expected to withdraw from a promotion
4 review of that candidate.

5 **Minimum Composition**

6
7
8 In the event that the department does not have at least three eligible faculty members who can undertake a
9 review, the department chair, after consulting with the dean, will appoint a faculty member from another
10 department within the college.

11 **B Promotion and Tenure Committee**

12
13
14 *TIUs that do not delegate promotion and tenure responsibilities*
15 *to a committee do not need this section.*

16
17 The department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty
18 in managing the personnel and promotion and tenure issues. The committee consists of three professors
19 and two associate professors. The committee's chair and membership are appointed by the department
20 chair. The term of service is three years, with reappointment possible.

21
22 When considering cases involving clinical faculty the Promotion and Tenure Committee may be
23 augmented by two nonprobationary clinical faculty members.

24
25 When considering cases involving research faculty the Promotion and Tenure Committee may be
26 augmented by two nonprobationary clinical faculty members and two nonprobationary research faculty
27 members.

28
29 *These numbers are illustrative. Use a committee size appropriate to your TIU.*

30 **C Quorum**

31
32
33 The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty
34 not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be
35 excluded from the count for the purposes of determining quorum only if the department chair has
36 approved an off-campus assignment.

37
38 Faculty members who recuse themselves because of a conflict of interest are not counted when
39 determining quorum.

40 **D Recommendation from the Committee of the Eligible Faculty**

41
42
43 In all votes taken on personnel matters only "yes" and "no" votes are counted. Abstentions are not votes.
44 Faculty members are strongly encouraged to consider whether they are participating fully in the review
45 process when abstaining from a vote on a personnel matter.

46
47 Absentee ballots and proxy votes are not permitted.

48 **1 Appointment**

Sample document only. See OAA Policies and Procedures Handbook for guidelines/instructions.

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

3 4 **2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**

5
6 A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion,
7 and contract renewal is secured when a simple majority of the votes cast are positive.

8
9 *These numbers are illustrative. Use a voting principle that your faculty agree upon.*

10 11 **IV Appointments**

12 13 **A Criteria**

14
15 The department is committed to making only faculty appointments that enhance or have strong potential
16 to enhance the quality of the department. Important considerations include the individual's record to date
17 in teaching, scholarship and service; the potential for professional growth in each of these areas; and the
18 potential for interacting with colleagues and students in a way that will enhance their academic work and
19 attract other outstanding faculty and students to the department. No offer will be extended in the event
20 that the search process does not yield one or more candidates who would enhance the quality of the
21 department. The search is either cancelled or continued, as appropriate to the circumstances.

22 23 **1 Tenure-track Faculty**

24
25 **Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of
26 assistant professor, but requirements for the terminal degree have not been completed by the candidate at
27 the time of appointment. The department will make every effort to avoid such appointments. An
28 appointment at the instructor level is limited to three years. When an instructor has not completed
29 requirements for promotion to the rank of assistant professor by the end of the third year of appointment,
30 the third year is a terminal year of employment.

31
32 Upon promotion to assistant professor, the faculty member may request prior service credit for time spent
33 as an instructor. This request must be approved by the department's eligible faculty, the department chair,
34 the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior
35 service credit is appropriate since prior service credit cannot be revoked without a formal request for an
36 extension of the probationary period. In addition all probationary faculty members have the option to be
37 considered for early promotion.

38
39 **Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank
40 of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-
41 quality service to the department and the profession is highly desirable. Appointment at the rank of
42 assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of
43 service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure
44 Committee determines such a review to be appropriate. The granting of prior service credit, which
45 requires approval of the Office of Academic Affairs, may reduce the length of the probationary period,
46 but is strongly discouraged as it cannot be revoked once granted.

47
48
49 *For clinical departments within the College of Medicine:*
50

1 Consistent with Faculty Rule 3335-6-09, faculty members with significant patient clinical service
2 responsibilities are granted an extended probationary period of up to 11 years, including prior service
3 credit, depending on the pattern of research, teaching, and service workload. An assistant professor with
4 an extended probationary period is reviewed for promotion and tenure no later than the 11th year as to
5 whether promotion and tenure will be granted at the beginning of the 12th year. For individuals not
6 recommended for promotion and tenure after the mandatory review, the 12th year will be the final year of
7 employment.
8

9
10 **Associate Professor and Professor.** Appointment at senior rank requires that the individual, at a
11 minimum, meet the department's criteria in teaching, scholarship, and service for promotion to these
12 ranks. Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is
13 appropriate only under unusual circumstances, such as when the candidate has limited prior teaching
14 experience or has taught only in a foreign country. A probationary period of up to four years is possible,
15 on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the
16 probationary appointment. If tenure is not granted, an additional (terminal) year of employment is
17 offered.
18

19 Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved
20 for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.
21

22 **2 Tenure-track Faculty—Regional Campus**

23
24 As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria
25 for appointment at the rank of assistant professor, associate professor, or professor are similar to those for
26 Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and
27 quality.
28

29 **3 Clinical Faculty**

30
31 Appointment of clinical faculty entails a three-, four- or five-year contract. The initial contract is
32 probationary, with reappointment considered annually. Tenure is not granted to clinical faculty. There is
33 also no presumption that subsequent contracts will be offered, regardless of performance. If the
34 department wishes to consider contract renewal, a formal review of the faculty member is required in the
35 penultimate year of the current contract period. For more information see Faculty Rule 3335-7
36 (<http://trustees.osu.edu>).
37

38 **Instructor of Clinical XXX.** Appointment is normally made at the rank of instructor of clinical XXX
39 when the appointee has not completed the requirements for the terminal degree. The department will
40 make every effort to avoid such appointments. An appointment at the instructor level is limited to a four-
41 year contract. In such cases, if the instructor has not completed requirements for promotion to the rank of
42 assistant professor by the end of the penultimate year of the contract period, a new contract will not be
43 considered even if performance is otherwise adequate and the position itself will continue.
44

45 **Assistant Professor of Clinical XXX.** An earned doctorate and the required licensure/certification in his
46 or her specialty are the minimum requirements for appointment at the rank of assistant professor of
47 clinical XXX. Evidence of ability to teach is highly desirable.
48

49 **Associate Professor of Clinical XXX and Professor of Clinical XXX.** Appointment at the rank of
50 associate professor of clinical XXX or professor of clinical XXX requires that the individual have the

1 required licensure/certification in his/her specialty, and meet, at a minimum, the department's criteria—in
2 teaching, professional practice and other service, and scholarship—for promotion to these ranks.

4 Research Faculty

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

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

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

5 Associated Faculty

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

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

35 **Clinical Instructor of Practice, Clinical Assistant Professor of Practice, Clinical Associate Professor
36 of Practice, Clinical Professor of Practice.** Associated clinical appointments may either be compensated
37 or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated
38 academic service such as XXX to the department, for which a faculty title is appropriate. Associated
39 clinical rank is determined by applying the criteria for appointment of clinical faculty. Associated clinical
40 faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for
41 promotion of clinical faculty.

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

49 **Senior Lecturer.** Appointment as senior lecturer requires that the individual have, at a minimum, a
50 doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide
51 high-quality instruction; or a Master's degree and at least five years of teaching experience with

1 documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial
2 appointment for a senior lecturer should generally not exceed one year.

3
4 **Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-
5 track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated
6 (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for
7 appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for
8 promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

9
10 **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.**
11 Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members
12 on leave from an academic appointment at another institution are appointed at the rank held in that
13 position. The rank at which other (non-faculty) individuals are appointed is determined by applying the
14 criteria for appointment of tenure-track faculty. Visiting faculty members are not eligible for tenure or
15 promotion. They may not be reappointed for more than three consecutive years at 100% FTE.

16 17 **6 Courtesy Appointments for Faculty**

18
19 Occasionally the active academic involvement in this department by a tenure-track, clinical, or research
20 faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy)
21 appointment in this department. Appropriate active involvement includes research collaboration, graduate
22 student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy
23 appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

24 25 **B Procedures**

26
27 See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in
28 the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>) for
29 information on the following topics:

- 30
31
- 32 • recruitment of tenure-track, clinical, and research faculty
 - 33 • appointments at senior rank or with prior service credit
 - 34 • hiring faculty from other institutions after April 30
 - 35 • appointment of foreign nationals
 - 36 • letters of offer

37 **1 Tenure-track Faculty**

38
39 A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track
40 positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs
41 in advance. Search procedures must be consistent with the university policies set forth in the most recent
42 update of A Guide to Effective Searches (www.hr.osu.edu/hrpubs/guidesearches.pdf).

43
44 Searches for tenure-track faculty proceed as follows:

45
46 The dean of the college provides approval for the department to commence a search process. This
47 approval may or may not be accompanied by constraints with regard to salary, rank, and field of
48 expertise.

49

1 The department chair appoints a search committee consisting of three or more faculty who reflect the field
2 of expertise that is the focus of the search (if relevant) as well as other fields within the department.

3
4 The search committee:

- 5
6 • Appoints a Diversity Advocate who is responsible for providing leadership in assuring that
7 vigorous efforts are made to achieve a diverse pool of qualified applicants.
8
- 9 • Develops a search announcement for internal posting in the university Job Postings through the
10 Office of Human Resources Employment Services (www.hr.osu.edu/) and external advertising,
11 subject to the department chair's approval. The announcement will be no more specific than is
12 necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to
13 the content of the announcement with respect to rank, field, credentials, salary. In addition, timing
14 for the receipt of applications will be stated as a preferred date, not a precise closing date, in order
15 to allow consideration of any applications that arrive before the conclusion of the search.
16
- 17 • Develops and implements a plan for external advertising and direct solicitation of nominations
18 and applications. If there is any likelihood that the applicant pool will include qualified foreign
19 nationals, the search committee must advertise using at least one 30-day online ad in a national
20 professional journal. The university does not grant tenure in the absence of permanent residency
21 ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of
22 foreign nationals for permanent residency unless the search process resulting in their appointment
23 to a tenure track position included an advertisement in a field-specific nationally professional
24 journal.
25
- 26 • Screens applications and letters of recommendation and presents to the full faculty a summary of
27 those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this
28 judgment, on-campus interviews are arranged by the search committee chair, assisted by the
29 department office. If the faculty does not agree, the department chair in consultation with the
30 faculty determines the appropriate next steps (solicit new applications, review other applications
31 already received, cancel the search for the time being).
32

33 On-campus interviews with candidates must include opportunities for interaction with faculty groups,
34 including the search committee; graduate students; the department chair; and the dean or designee. In
35 addition, all candidates make a presentation to the faculty and graduate students on their scholarship, and
36 teach a class. The latter could be an actual class or a mock instructional situation. All candidates
37 interviewing for a particular position must follow the same interview format.
38

39 Following completion of on-campus interviews, the eligible faculty meet to discuss perceptions and
40 preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each
41 candidate to the department chair.
42

43 If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the
44 proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the
45 appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of
46 the proposed rank or the appropriateness of prior service credit to the department chair.
47

48 In the event that more than one candidate achieves the level of support required to extend an offer, the
49 department chair decides which candidate to approach first. The details of the offer, including

1 compensation, are determined by the department chair.
2

3 Potential appointment of a foreign national who lacks permanent residency must be discussed with the
4 Office of International Affairs. The university does not grant tenure in the absence of permanent
5 residency status. The department will therefore be cautious in making such appointments and vigilant in
6 assuring that the appointee seeks residency status promptly and diligently.
7

8 **2 Tenure-track Faculty—Regional Campus** 9

10 The regional campus has primary responsibility for determining the position description for a tenure-track
11 faculty search, but the dean/director or designee consults with the department chair to reach agreement on
12 the description before the search begins. The regional campus search committee must include at least one
13 representative from the department.
14

15 Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department
16 eligible faculty, and regional campus search committee. The regional campus may have additional
17 requirements for the search not specified in this document. A decision to make an offer requires
18 agreement by the department chair and regional campus dean. Until agreement is reached, negotiations
19 with the candidate may not begin, and the letter of offer must be signed by the department chair and the
20 regional campus dean.
21

22 **3 Clinical Faculty** 23

24 Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception
25 that the candidate's presentation during the on-campus interview is on clinical/professional practice rather
26 than scholarship, and exceptions to a national search only requires approval by the college dean.
27

28 **4 Research Faculty** 29

30 Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception
31 that during the on-campus interview the candidate is not asked to teach a class, and exceptions to a
32 national search only requires approval by the college dean.
33

34 **5 Transfer from the Tenure-track** 35

36 Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist.
37 Tenure is lost upon transfer, and transfers must be approved by the department chair, the college dean,
38 and the executive vice president and provost.
39

40 The request for transfer must be initiated by the faculty member in writing and must state clearly how the
41 individual's career goals and activities have changed.
42

43 Transfers from a clinical appointment and from a research appointment to the tenure-track are not
44 permitted. Clinical faculty members and research faculty members may apply for tenure-track positions
45 and compete in regular national searches for such positions.
46

47 **6 Associated Faculty** 48

49 The appointment, review, and reappointment of all compensated associated faculty is decided by the
50 department chair in consultation with the department Executive Committee.
51

1 Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any
2 faculty member in the department and is decided by the department chair in consultation with the
3 department Executive Committee.
4

5 Compensated associated appointments are generally made for a period of one year, unless a shorter or
6 longer period is appropriate to the circumstances. All associated appointments expire at the end of the
7 appointment term and must be formally renewed to be continued. Visiting appointments may be made for
8 one term of up to three years or on an annual basis for up to three consecutive years.
9

10 Lecturer and senior lecturer appointments are usually made on a semester by semester or annual basis.
11 After the initial appointment, and if the department's curricular needs warrant it, a multiple year
12 appointment may be offered.
13

14 Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures
15 for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not
16 proceed to the college level if the department chair's recommendation is negative, and does not proceed to
17 the university level if the dean's recommendation is negative.
18

19 **7 Courtesy Appointments for Faculty**

20
21 Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track,
22 clinical, or research faculty member from another Ohio State department. A proposal that describes the
23 uncompensated academic service to this department justifying the appointment is considered at a regular
24 faculty meeting. If the proposal is approved by the eligible faculty, the department chair extends an offer
25 of appointment. The department chair reviews all courtesy appointments every three years to determine
26 whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a
27 vote at a regular meeting.
28

29 **V Annual Review Procedures**

30
31 The department follows the requirements for annual reviews as set forth in the Faculty Annual Review
32 Policy (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).
33

34 The annual reviews of every faculty member are based on expected performance in teaching, scholarship,
35 and service as set forth in the department's guidelines on faculty duties and responsibilities; on any
36 additional assignments and goals specific to the individual; and on progress toward promotion where
37 relevant.
38

39 The documentation required for the annual performance review of every faculty member is described
40 under Merit Salary Increases below. This material must be submitted to the department chair no later than
41 the final day of autumn semester classes.
42

43 The department chair is required (per Faculty Rule 3335-3-35 [<http://trustees.osu.edu>]) to include a
44 reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04
45 [<http://trustees.osu.edu>]) to view their primary personnel file and to provide written comment on any
46 material therein for inclusion in the file.
47

48 **A Probationary Tenure-track Faculty**

49

Sample document only. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.

1 Every probationary tenure-track faculty member is reviewed annually by the chair, who meets with the
2 faculty member to discuss his or her performance, future plans, and goals; and prepares a written
3 evaluation that includes a recommendation on whether to renew the probationary appointment.
4

5 *Also describe the role of any other faculty involved in the review.*
6

7 If the department chair recommends renewal of the appointment, this recommendation is final. The
8 department chair's annual review letter to the faculty member renews the probationary appointment for
9 another year and includes content on future plans and goals. The faculty member may provide written
10 comments on the review. The department chair's letter (along with the faculty member's comments, if
11 received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the
12 cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she
13 chooses).
14

15 If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule
16 3335-6-04 [<http://trustees.osu.edu>]) is invoked. Following completion of the comments process, the
17 complete dossier is forwarded to the college for review and the dean makes the final decision on renewal
18 or nonrenewal of the probationary appointment.
19

20 **1 Regional Campus Faculty**

21
22 Annual review of the probationary faculty member is first conducted on the regional campus, with a focus
23 on teaching and service. The review then moves to the department and proceeds as described above. In
24 the event of divergence in performance assessment between the regional campus and the department, the
25 department chair discusses the matter with the regional campus dean/director in an effort to clarify and
26 reconcile the divergence, so that the faculty member receives consistent assessment and advice.
27

28 **2 Fourth-Year Review**

29
30 During the fourth year of the probationary period the annual review follows the same procedures as the
31 mandatory tenure review, with the exception that external evaluations are optional and the dean (not the
32 department chair) makes the final decision regarding renewal or nonrenewal of the probationary
33 appointment.
34

35 External evaluations are only solicited when either the department chair or the eligible faculty determine
36 that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's
37 scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise
38 capable of evaluating the scholarship without outside input.
39

40 The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty
41 votes by written ballot on whether to renew the probationary appointment.
42

43 The eligible faculty forwards a record of the vote and a written performance review to the department
44 chair. The department chair conducts an independent assessment of performance and prepares a written
45 evaluation that includes a recommendation on whether to renew the probationary appointment. At the
46 conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04
47 [<http://trustees.osu.edu>]) is followed and the case is forwarded to the college for review, regardless of
48 whether the department chair recommends renewal or nonrenewal.
49

50 **3 Exclusion of Time from Probationary Period**

51

1 Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu>) sets forth the conditions under which a probationary
2 tenure-track faculty member may exclude time from the probationary period. Additional procedures and
3 guidelines can be found in the Office of Academic Affairs [Policies and Procedures Handbook](#)
4 (<http://oaa.osu.edu/handbook.html>).

6 **B Tenured Faculty**

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

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

18 **C Tenured Faculty—Regional Campus**

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

26 **D Clinical Faculty**

28 The annual review process for clinical probationary and nonprobationary faculty is identical to that for
29 tenure-track probationary and tenured faculty respectively.

31 In the penultimate contract year of a clinical faculty member's appointment, the department chair must
32 determine whether the position held by the faculty member will continue. If the position will not continue,
33 the faculty member is informed that the final contract year will be a terminal year of employment. The
34 standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu>) must be observed.

36 If the position will continue, a formal performance review for reappointment is necessary in the
37 penultimate contract year to determine whether the faculty member will be offered a new contract. This
38 review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External
39 letters of evaluation are not solicited. There is no presumption of renewal of contract.

41 **E Research Faculty**

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

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

Sample document only. See OAA Policies and Procedures Handbook for guidelines/instructions.

1 If the position will continue, a formal performance review for reappointment is necessary in the
2 penultimate contract year to determine whether the faculty member will be offered a new contract. This
3 review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External
4 letters of evaluation are not solicited. *(If a unit wishes to solicit letters in this case, or to make them*
5 *optional, describe that process here.)* There is no presumption of renewal of contract.
6

7 **F Associated Faculty**

8
9 Compensated associated faculty members in their initial appointment must be reviewed before
10 reappointment. The department chair, or designee, prepares a written evaluation and meets with the
11 faculty member to discuss his or her performance, future plans, and goals. The department chair's
12 recommendation on renewal of the appointment is final. If the recommendation is to renew, the
13 department chair may extend a multiple year appointment.
14

15 Compensated associated faculty members on a multiple year appointment are reviewed annually by the
16 department chair, or designee. The department chair, or designee, prepares a written evaluation and meets
17 with the faculty member to discuss his or her performance, future plans, and goals. No later than October
18 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department
19 chair's recommendation on reappointment is final.
20

21 **VI Merit Salary Increases and Other Rewards**

22 **A Criteria**

23
24
25 Except when the university dictates any type of across the board salary increase, all funds for annual
26 salary increases are directed toward rewarding meritorious performance and assuring, to the extent
27 possible given financial constraints, that salaries reflect the market and are internally equitable.
28

29 On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize
30 non-continuing contributions that justify reward but do not justify permanent salary increases. Such
31 payments/rewards are considered at the time of annual salary recommendations.
32

33 Meritorious performance in teaching, scholarship, and service are assessed in accordance with the same
34 criteria that form the basis for promotion decisions. The time frame for assessing performance will be the
35 past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-
36 quality performance in all three areas of endeavor and a pattern of consistent professional growth will
37 necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are
38 likely to receive minimal or no salary increases.
39

40 Faculty who fail to submit the required documentation for an annual review at the required time will
41 receive no salary increase in the year for which documentation was not provided, except in extenuating
42 circumstances, and may not expect to recoup the foregone raise at a later time.
43

44 **B Procedures**

45
46 The department chair recommends annual salary increases and other performance rewards to the dean,
47 who may modify these recommendations. In formulating recommendations, the department chair consults
48 with the department Executive Committee. Salary increases are formulated in dollar amounts rather than
49 percentage increases, with the goal of distributing available funds in a manner that achieves the optimal
50 distribution of salaries. As a general approach to formulating salary recommendations, the department

1 chair divides faculty into at least four groups based on continuing productivity (high, average, low, and
2 unsatisfactory) and considers market and internal equity issues as appropriate.
3

4 Faculty members who wish to discuss dissatisfaction with their salary increase with the department chair
5 should be prepared to explain how their salary (rather than the increase) is inappropriately low, since
6 increases are solely a means to the end of an optimal distribution of salaries.
7

8 **C Documentation**

9

10 The annual performance review of every faculty member requires that all documentation described below,
11 including the two summary documents, be submitted to the department chair no later than the final day of
12 autumn semester classes.
13

- 14 • updated CV, which will be made available to all faculty in an accessible place
- 15 • updated Office of Academic Affairs dossier outline, Volume 3
16 (<http://oaa.osu.edu/handbook.html>)
17

18 Any published materials presented for consideration should be in the form of reprints, photocopies of
19 journal articles, or other final form that documents actual publication. An author's manuscript does not
20 document publication.
21

22 Under no circumstances should faculty solicit evaluations from any party for purposes of the annual
23 review, as such solicitation places its recipient in an awkward position and produces a result that is
24 unlikely to be candid.
25

26 The time period covered by the documentation described below is the previous 12 months.
27

28 **1 Teaching**

29

30 Cumulative eSEI reports (Student Evaluation of Instruction computer generated summaries prepared by
31 the Office of the University Registrar) for every class taught.
32

33 Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program
34 (details, including required number, included in section X below)
35

36 Copies of pedagogical papers, books or other materials published, or accepted for publication. Material
37 accepted for publication but not yet published must be accompanied by a letter from the publisher stating
38 that the work has been unequivocally accepted and is in final form with no further revisions needed. An
39 accepted but unpublished work submitted for consideration in a given annual review may not be
40 resubmitted after publication for consideration in a future annual review.
41

42 Other relevant documentation of teaching as appropriate.
43

44 **2 Scholarship**

45

46 Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but
47 not yet published must be accompanied by a letter from the publisher stating that the paper has been
48 unequivocally accepted and is in final form with no further revisions needed.
49

50 Documentation of grants and contracts received.
51

1 Other relevant documentation of scholarship as appropriate (published reviews including publications
2 where one's work is favorably cited, grants and contract proposals that have been submitted).
3

4 **3 Service**

5
6 Any available documentation of the quality of service that enhances the list of service activities in the
7 dossier.
8

9 **VII Promotion and Tenure and Promotion Reviews**

10 **A Criteria**

11
12
13 Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) provides the following context for promotion and tenure
14 and promotion reviews:
15

16 *In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable*
17 *flexibility shall be exercised, balancing, where the case requires, heavier commitments and*
18 *responsibilities in one area against lighter commitments and responsibilities in another. In*
19 *addition, as the university enters new fields of endeavor, including interdisciplinary endeavors,*
20 *and places new emphases on its continuing activities, instances will arise in which the proper*
21 *work of faculty members may depart from established academic patterns. In such cases care must*
22 *be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual*
23 *attainment, in accordance with the criteria set forth in these rules, is an essential qualification for*
24 *promotion to tenured positions. Clearly, insistence upon this standard for continuing members of*
25 *the faculty is necessary for maintenance and enhancement of the quality of the university as an*
26 *institution dedicated to the discovery and transmission of knowledge.*
27

28 **1 Promotion to Associate Professor with Tenure**

29
30 Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) provides the following general criteria for promotion to
31 associate professor with tenure:
32

33 *The awarding of tenure and promotion to the rank of associate professor must be based on*
34 *convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar,*
35 *and as one who provides effective service; and can be expected to continue a program of high-*
36 *quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which*
37 *the faculty member is assigned and to the university.*
38

39 Tenure is not awarded below the rank of associate professor at The Ohio State University.
40

41 The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and
42 judge the probability that faculty, once tenured, will continue to develop professionally and contribute to
43 the department's academic mission at a high level for the duration of their time at the university.
44

45 Every candidate is held to a high standard of excellence in all aspects of performance. Accepting
46 weakness in any aspect of performance in making a tenure decision is tantamount to deliberately
47 handicapping the department's ability to perform and to progress academically. Above all, candidates are
48 held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's
49 primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate
50 teaching is required. A mediocre performance in this area would not be adequately counterbalanced by

1 excellent performance in another aspect of teaching that is a significantly smaller part of the individual's
2 responsibilities.

3
4 Excellence in teaching, scholarship, and service are moreover defined to include professional ethical
5 conduct in each area of responsibility, consistent with the American Association of University Professors'
6 Statement on Professional Ethics

7 (<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>).

8
9 *The content of the following sections is obviously not appropriate for all disciplines, but is nevertheless*
10 *provided in order to demonstrate the requisite level of specificity. The department should strive for an*
11 *equivalent or greater level of detail in adapting the suggested content to its particular needs.*

12
13 The accomplishments listed below in the areas of teaching, scholarship, and service are expected of
14 faculty for promotion to associate professor with tenure. In the evaluation of untenured associate
15 professors for tenure, the same criteria apply, along with any others established in writing at the time a
16 senior rank appointment without tenure was offered.

17 18 **Teaching**

19
20 For promotion to associate professor with tenure, a faculty member is expected to have:

- 21 • provided up-to-date content at an appropriate level in every instructional situation and
22 demonstrated continuing growth in subject matter knowledge
- 23 • demonstrated the ability to organize and present class material effectively with logic, conviction,
24 and enthusiasm
- 25 • demonstrated creativity in the use of various modes of instruction, classroom technology, and
26 other teaching strategies to create an optimal learning environment
- 27 • demonstrated creativity in the use of various modes of instruction, classroom technology, and
28 other teaching strategies to create an optimal learning environment
- 29 • engaged students actively in the learning process and encouraged independent thought, creativity,
30 and appreciation of the knowledge creation process
- 31 • engaged students actively in the learning process and encouraged independent thought, creativity,
32 and appreciation of the knowledge creation process
- 33 • provided appropriate and timely feedback to students throughout the instructional process
- 34 • treated students with respect and courtesy
- 35 • improved curriculum through revision or new development of courses and/or academic programs
- 36 • served as advisor to an appropriate number of graduate students given the department's graduate
37 student/faculty ratio and the faculty member's area(s) of expertise
- 38 • engaged in documentable efforts to improve teaching
- 39 • engaged in documentable efforts to improve teaching
- 40 • engaged in documentable efforts to improve teaching
- 41 • engaged in documentable efforts to improve teaching
- 42 • engaged in documentable efforts to improve teaching
- 43 • engaged in documentable efforts to improve teaching
- 44 • engaged in documentable efforts to improve teaching

45 **Scholarship**

46
47 For promotion to associate professor with tenure, a faculty member is expected to have:

- 48 • Published a body of work in high-quality peer-reviewed venues that is thematically focused,
49 contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited
- 50 • 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

1 or otherwise show evidence of influence on the work of others. The following attributes of the
2 body of work are considered:

- 3
- 4 ○ quality, impact, quantity
- 5 ○ unique contribution to a line of inquiry or repackaging of earlier work
- 6 ○ Rigor of the peer-review process and degree of dissemination of publication venues.
7 Archival journal publications and monographs are weighted more heavily than
8 conference proceedings, published scholarship more than unpublished scholarship, and
9 original works more than edited works.
- 10 ○ empirical work, demonstrating the candidate's ability to conduct such work and to mentor
11 future scholars, is preferred to synthetic work at this stage of career
- 12 ○ While collaborative work is encouraged, and indeed is essential to some types of inquiry,
13 the candidate's intellectual contributions to collaborative work must be clearly and fairly
14 described to permit accurate assessment.
- 15
- 16 • A demonstrated ability to obtain and potential to sustain research program funding. Competitive
17 peer-reviewed funding is weighted more favorably than other types, since it serves as a quality
18 indicator of research programs, and grants requiring the exercise of intellectual creativity are
19 weighted more heavily than those that largely dictate the work to be done. Research funding is a
20 means to an end; funding that has not led to research productivity is disregarded in the review.
- 21
- 22 • A developing national/international reputation in the candidate's field as evidenced by external
23 evaluations, invitations to present at recognized prestigious forums, invitations to review research
24 papers and grant proposals, and a beginning trend of positive citations in other researchers'
25 publications. A reputation based on the quality of the research contribution is distinguished from
26 one based mainly on familiarity through the faculty member's frequent attendance at national and
27 international conferences.
- 28
- 29 • Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full
30 and timely adherence to all regulations relevant to the research program, and ethical treatment of
31 graduate students, postdoctoral fellows, and collaborators.
- 32

33 **Service**

34
35 For promotion to associate professor with tenure, a faculty member is expected to have:

- 36
- 37 • made substantive contributions to the governance of the department in a manner that facilitates
38 positive contributions by others
- 39 • demonstrated the potential for useful contributions to the profession
- 40

41 42 **2 Promotion to Associate Professor without Tenure**

43
44
45 *For clinical departments within the College of Medicine:*

46
47 Faculty members on the with significant clinical responsibilities with an eleven-year probationary period
48 who fully meet the teaching and service requirements for promotion to associate professor with tenure but
49 not all of the research requirements, may petition for promotion to associate professor without tenure.
50

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

Units should also add additional specific criteria about work applicable especially to senior faculty, e.g. doctoral-level advising, university and professional service, and appropriate levels of leadership.

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

In addition, as further specified by Faculty Rule 3335-6-02, 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.

4 Regional Campus Faculty

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the department 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.

5 Clinical Faculty

Promotion to Assistant Professor of Clinical XXX. For promotion to assistant professor of clinical XXX, 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.

1 **Promotion to Associate Professor of Clinical XXX.** For promotion to associate professor of clinical
2 XXX, a faculty member must show convincing evidence of excellence as a teacher and a provider of
3 effective service; must have a documented high level of competence in professional practice; and must
4 display the potential for continuing a program of high-quality teaching and service relevant to the mission
5 of this department. Specific criteria in teaching and service for promotion to associate professor-clinical
6 are similar to those for promotion to associate professor with tenure. Scholarship activity is not expected.
7

8 **Promotion to Professor of Clinical XXX.** For promotion to professor of clinical XXX, a faculty member
9 must have a record of continuing professional growth and increasing quality of contributions, including a
10 sustained record of excellence in teaching and professional practice; leadership in service to this
11 department and to the profession; and production and dissemination of scholarly materials pertinent to
12 pedagogy and/or professional practice.
13

14 **6 Research Faculty**

15
16 **Promotion to Research Associate Professor.** For promotion to research associate professor, a faculty
17 member must have a substantial record of high-quality focused research consistent with an appointment
18 devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged
19 by external evaluators as having substantial positive impact on the field. A record of continuous peer
20 reviewed funding is required along with evidence of a growing national reputation.
21

22 **Promotion to Research Professor.** For promotion to research professor, a faculty member must have a
23 national or international reputation built on an extensive body of high-quality publications and with
24 demonstrated impact on the field. A record of continuous peer-reviewed funding is required, along with
25 demonstrated research productivity as a result of such funding.
26

27 **B Procedures**

28
29 The department's procedures for promotion and tenure and promotion reviews are fully consistent with
30 those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) and the Office Academic Affairs
31 annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the
32 Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>). The following sections, which
33 state the responsibilities of each party to the review process, apply to all faculty in the department.
34

35 **1 Candidate Responsibilities**

36
37 The responsibilities of the candidate are as follows:
38

- 39 • To submit a complete, accurate dossier fully consistent with Office of Academic Affairs
40 guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist
41 without ascertaining that they have fully met the requirements set forth in the Office of Academic
42 Affairs core dossier outline including, but not limited to, those highlighted on the checklist.
43
- 44 • To submit a copy of the department's APT Document that was in effect at the time of the
45 candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he
46 wishes to be reviewed under that document's criteria and procedures. This must be submitted
47 when the dossier is submitted to the department.
48
- 49 • To review the list of potential external evaluators developed by the department chair and the
50 Promotion and Tenure Committee. The candidate may add no more than three additional names,
51 but is not required to do so. The candidate may request the removal of no more than two names,

1 providing the reasons for the request. The department chair decides whether removal is
2 justified. (Also see External Evaluations below.)
3

4 *These numbers are illustrative.*
5

6 **2 Promotion and Tenure Committee Responsibilities**

7

8 The responsibilities of the Promotion and Tenure Committee are as follows:
9

- 10 • To review this document annually and to recommend proposed revisions to the faculty.
- 11
- 12 • To consider annually, in spring semester, requests from faculty members seeking a non-
13 mandatory review in the following academic year and to decide whether it is appropriate for such
14 a review to take place. Only professors on the committee may consider promotion review
15 requests to the rank of professor. A two-thirds majority of those eligible to vote on a request
16 must vote affirmatively for the review to proceed.
17
 - 18 ○ The committee bases its decision on assessment of the record as presented in the faculty
19 member's CV and on a determination of the availability of all required documentation for
20 a full review (student and peer evaluations of teaching). Lack of the required
21 documentation is necessary and sufficient grounds on which to deny a non-mandatory
22 review.
23
 - 24 ○ A tenured faculty member may only be denied a formal promotion review under Faculty
25 Rule 3335-6-04 (<http://trustees.osu.edu>) for one year. If the denial is based on lack of
26 required documentation and the faculty member insists that the review go forward in the
27 following year despite incomplete documentation, the individual should be advised that
28 such a review is unlikely to be successful.
29
 - 30 ○ Consistent with Office of Academic Affairs policy, only faculty members who are
31 citizens or permanent residents of the United States may be considered for non-
32 mandatory tenure review. The committee must confirm with the department chair that an
33 untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or
34 permanent resident (has a "green card"). Faculty members not eligible for tenure due to
35 lack of citizenship or permanent residency are moreover not considered for promotion by
36 this department.
37
 - 38 ○ A decision by the committee to permit a review to take place in no way commits the
39 eligible faculty, the department chair, or any other party to the review to making a
40 positive recommendation during the review itself.
41
- 42 • Annually, in late spring through early autumn semester, to provide administrative support for the
43 promotion and tenure review process as described below.
44
 - 45 ○ **Late Spring:** Select from among its members a Procedures Oversight Designee who will
46 serve in this role for the following year. The Procedures Oversight Designee cannot be
47 the same individual who chairs the committee. The Procedures Oversight Designee's
48 responsibilities are described in the Office of Academic Affairs annual procedural
49 guidelines.
50
 - 51 ○ **Late Spring:** Suggest names of external evaluators to the department chair.

- 1
- 2
- 3 ○ **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including
- 4 citations), and consistency with Office of Academic Affairs requirements; and work with
- 5 candidates to assure that needed revisions are made in the dossier before the formal
- 6 review process begins.
- 7
- 8 ○ Meet with each candidate for clarification as necessary and to provide the candidate an
- 9 opportunity to comment on his or her dossier. This meeting is not an occasion to debate
- 10 the candidate's record.
- 11
- 12 ○ Draft an analysis of the candidate's performance in teaching, scholarship and service to
- 13 provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent
- 14 evidence in the case, where possible. The committee neither votes on cases nor takes a
- 15 position in presenting its analysis of the record.
- 16
- 17 ○ Revise the draft analysis of each case following the faculty meeting, to include the
- 18 faculty vote and a summary of the faculty perspectives expressed during the meeting; and
- 19 forward the completed written evaluation and recommendation to the department chair.
- 20
- 21 ○ Provide a written response, on behalf of the eligible faculty, to any candidate comments
- 22 that warrant response, for inclusion in the dossier.
- 23
- 24 ○ Provide a written evaluation and recommendation to the department chair in the case of
- 25 joint appointees whose tenure-initiating unit is another department. The full eligible
- 26 faculty does not vote on these cases since the department's recommendation must be
- 27 provided to the other tenure-initiating unit substantially earlier than the committee begins
- 28 meeting on this department's cases.

29 **3 Eligible Faculty Responsibilities**

30
31 The responsibilities of the members of the eligible faculty are as follows:

- 32
- 33 • To review thoroughly and objectively every candidate's dossier in advance of the meeting at
- 34 which the candidate's case will be discussed.
- 35
- 36 • To attend all eligible faculty meetings except when circumstances beyond one's control prevent
- 37 attendance; to participate in discussion of every case; and to vote.
- 38

39 **4 Department Chair Responsibilities**

40
41 The responsibilities of the department chair are as follows:

- 42
- 43 • Where relevant, to verify the prospective candidate's residency status. Faculty members who are
- 44 neither citizens nor permanent residents of the United States may not undergo a non-mandatory
- 45 review for tenure, and tenure will not be awarded as the result of a mandatory review until
- 46 permanent residency status is established. Faculty members not eligible for tenure due to lack of
- 47 citizenship or permanent residency are moreover not considered for promotion by this
- 48 department.
- 49

- 1 • **Late Spring Semester:** To solicit external evaluations from a list including names suggested by
2 the Promotion and Tenure Committee, the chair and the candidate. (Also see External
3 Evaluations below.)
4
- 5 • To make adequate copies of each candidate's dossier available in an accessible place for review
6 by the eligible faculty at least two weeks before the meeting at which specific cases are to be
7 discussed and voted.
8
- 9 • To remove any member of the eligible faculty from the review of a candidate when the member
10 has a conflict of interest but does not voluntarily withdraw from the review.
11
- 12 • To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed
13 and respond to questions raised during the meeting.
14
- 15 • **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for
16 each candidate, following receipt of the eligible faculty's completed evaluation and
17 recommendation.
18
- 19 • To meet with the eligible faculty to explain any recommendations contrary to the
20 recommendation of the committee.
21
- 22 • To inform each candidate in writing after completion of the department review process:
23
 - 24 ○ of the recommendations by the eligible faculty and department chair
 - 25
 - 26 ○ of the availability for review of the written evaluations by the eligible faculty and
27 department chair
 - 28
 - 29 ○ of the opportunity to submit written comments on the above material, within ten days
30 from receipt of the letter from the department chair, for inclusion in the dossier. The letter
31 is accompanied by a form that the candidate returns to the department chair, indicating
32 whether or not he or she expects to submit comments.
33
- 34 • To provide a written response to any candidate comments that warrants response for inclusion in
35 the dossier.
36
- 37 • To forward the completed dossier to the college office by that office's deadline, except in the case
38 of associated faculty for whom the department chair recommends against promotion. A negative
39 recommendation by the department chair is final in such cases.
40
- 41 • To receive the Promotion and Tenure Committee's written evaluation and recommendation of
42 candidates who are joint appointees from other tenure-initiating units, and to forward this
43 material, along with the department chair's independent written evaluation and recommendation,
44 to the department chair of the other tenure-initiating unit by the date requested.
45

46 **5 Procedures for Regional Campus Faculty**

47
48 Regional campus faculty are first reviewed by the regional campus faculty according to the process
49 established on that campus and then by the regional campus dean/director. The regional campus review
50 focuses on teaching and service.

1
2 The regional campus dean/director forwards the written evaluation and recommendation of the regional
3 campus review to the department chair, from which point the review follows the procedures described for
4 the Columbus campus faculty.

6 External Evaluations

7
8 External evaluations of scholarly activity and research are obtained for all promotion reviews in which
9 scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews,
10 all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion
11 reviews. External evaluations of scholarly activity and research are not obtained for clinical faculty unless
12 the faculty member has been involved in a significant amount of scholarship. The decision to seek
13 external evaluations for a clinical faculty member will be made by the department chair after consulting
14 with the candidate and the chair of the Promotion and Tenure Committee.

15
16 A minimum of five credible and useful evaluations must be obtained. A credible and useful evaluation:

- 17
18 • Is written by a person highly qualified to judge the candidate's scholarship (or other performance,
19 if relevant) who can give an “arms’ length” evaluation of the research record and is not a close
20 personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the
21 candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of
22 accomplishments, and institutional affiliation. This department will only solicit evaluations from
23 full professors at institutions comparable to Ohio State. In the case of an assistant professor
24 seeking promotion to associate professor with tenure, a minority of the evaluations may come
25 from associate professors.
- 26
27 • Provides sufficient analysis of the candidate's performance to add information to the review. A
28 letter's usefulness is defined as the extent to which the letter is analytical as opposed to
29 perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an
30 evaluator on the merits of the case.

31
32 Since the department cannot control who agrees to write and or the usefulness of the letters received,
33 more letters are sought than are required, and they are solicited no later than the end of the spring
34 semester prior to the review year. This timing allows additional letters to be requested should fewer than
35 five useful letters result from the first round of requests.

36
37 As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee,
38 the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for
39 credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04
40 (<http://trustees.osu.edu>) requires that no more than half the external evaluation letters in the dossier be
41 written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate
42 do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier
43 contain letters from evaluators suggested by the candidate.

44
45 The department follows the Office of Academic Affairs suggested format, provided at
46 <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.

47
48 Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with
49 external evaluators for any purpose related to the promotion review. If an external evaluator should
50 initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such
51 communication is inappropriate and report the occurrence to the department chair, who will decide what,

1 if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that
2 letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural
3 lapse, or the appearance of such a lapse, in the course of the review process.
4

5 All solicited external evaluation letters that are received must be included in the dossier. If concerns arise
6 about any of the letters received, these concerns may be addressed in the department's written evaluations
7 or brought to the attention of the Office of Academic Affairs for advice.
8

9 **C Documentation**

10 As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate
11 dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure
12 Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate
13 bears full responsibility for all parts of the dossier that are to be completed by the candidate.
14

15 The complete dossier, including the documentation of teaching noted in bold below, is forwarded when
16 the review moves beyond the department. The documentation of scholarship and service noted below is
17 for use during the department review only, unless reviewers at the college and university levels
18 specifically request it.
19

- 20
- 21 • Any published materials presented for consideration should be in the form of reprints,
22 photocopies of journal articles, or other final form that documents actual publication. An author's
23 manuscript does not document publication.
24
- 25 • Under no circumstances should faculty solicit evaluations from any party for purposes of the
26 review.
27

28 **1 Teaching**

29 The time period for material included in the dossier for probationary faculty is the date of hire to present.
30 For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is
31 less, to present. Examples of documentation include:
32

- 33
- 34 • cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries
35 prepared by the Office of the University Registrar) for every class
- 36 • peer evaluation of teaching reports as required by the department's peer evaluation of teaching
37 program (details, including number, provided in Section X below)
- 38 • Copies of pedagogical papers, books or other materials published, or accepted for
39 publication. Material accepted for publication but not yet published must be accompanied by a
40 letter from the publisher stating that the work has been unequivocally accepted and is in final
41 form with no further revisions needed.
- 42 • teaching activities as listed in the core dossier including
 - 43 ○ involvement in graduate/professional exams, theses, and dissertations, and undergraduate
44 research
 - 45 ○ mentoring postdoctoral scholars and researchers
 - 46 ○ extension and continuing education instruction
 - 47 ○ involvement in curriculum development
 - 48 ○ awards and formal recognition of teaching
 - 49 ○ presentations on pedagogy and teaching at national and international conferences
 - 50 ○ adoption of teaching materials at other colleges or universities

- other relevant documentation of teaching as appropriate

2 Scholarship

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

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

3 Service

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

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

VIII Appeals

Faculty Rule 3335-6-05 (<http://trustees.osu.edu>) 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>).

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.

1 **IX Seventh-Year Reviews**
2

3 Faculty Rule 3335-6-05 (<http://trustees.osu.edu>) sets forth the conditions of and procedures for a Seventh
4 Year Review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review.
5

6 **X Procedures for Student and Peer Evaluation of Teaching**
7

8 **A Student Evaluation of Teaching**
9

10 Use of the Student Evaluation of Instruction (eSEI) is required in every course offered in this department.
11 (*Units using other evaluation tools instead of the eSEI should describe them here.*) Faculty members
12 should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-
13 class time for students to complete the evaluation using a mobile application. The faculty member must
14 leave the classroom during the time allotted for completing the evaluation. The faculty member should
15 reiterate to students that the feedback provided in the evaluations is used both for performance reviews
16 and to provide feedback that can be taken into account in future teaching.
17

18 *Include language on additional discursive evaluative instruments and processes for collecting them if*
19 *your department requires or recommends them.*
20

21 **B Peer Evaluation of Teaching**
22

23 The department chair oversees the department's peer evaluation of teaching process.
24

25 Annually the department chair appoints a Peer Review of Teaching Committee of a size judged sufficient
26 to meet the volume of peer review activity expected that year, without overburdening any of the members.
27 The term of service is one year, with reappointment possible. Reasonable efforts are made to distribute
28 service among the tenured faculty from year to year in order to support and encourage attention to the
29 quality of teaching in the department. Although there is no presumption that a peer reviewer must be of
30 equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent
31 possible.
32

33 *The numbers below are illustrative only. There is no university policy on the specific number of*
34 *peer reviews that should be conducted, but departments should ensure that the numbers in unit*
35 *documents are in accordance with college or campus guidelines or have been approved as an*
36 *exception to these.*
37

38 The responsibilities of the Peer Review of Teaching Committee are as follows:
39

- 40
- 41 • to review the teaching of probationary tenure-track and clinical faculty at least once per year
42 during the first two years of service, and at least twice more before the commencement of the
43 mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to
44 which the faculty member is assigned
 - 45 • to review the teaching of tenured associate professors and nonprobationary associate professors of
46 clinical XXX at least once every other year, with the goal of assessing teaching at all the levels
47 of instruction to which the faculty member is assigned over a six year period and of having at
48 least two peer reviews of teaching before the commencement of a promotion review
49

Sample document only. See OAA Policies and Procedures Handbook for guidelines/instructions.

- 1 • to review the teaching of tenured professors and nonprobationary professors of clinical XXX at
2 least once every four years with the goal of assessing teaching at all the levels of instruction to
3 which the faculty member is assigned during the year of the review
4
- 5 • To review, upon the department chair's request, the teaching of any faculty member not currently
6 scheduled for review. Such reviews are normally triggered by low or declining student
7 evaluations or other evidence of the need for providing assistance in improving teaching.
8
- 9 • To review the teaching of a faculty member not currently scheduled for review, upon that
10 individual's request, to the extent that time permits. Reviews conducted at the request of the
11 faculty member are considered formative only. The department chair is informed that the review
12 took place, but the report is given only to the faculty member who requested the review. Faculty
13 seeking formative reviews should also seek the services of the University Center for the
14 Advancement of Teaching (www.ucat.osu.edu).
15

16 Reviews conducted upon the request of the department chair or the faculty member focus on the specific
17 aspects of instruction requested by the chair or faculty member and may or may not include class
18 visitations
19

20 Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive
21 and should include, in addition to class visitation, review of course syllabi and related instruction
22 materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation
23 is conducted by one or more senior peers whom the promotion and tenure chair has identified in
24 consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for
25 the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the
26 peer reviewer should attend two different class sessions over the course of the semester.
27

28 In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on
29 such issues as the appropriateness of the course design given the goals and level of the course, the quality
30 and effectiveness of the instructional materials and assessment tools, and the appropriateness of the
31 approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer
32 meets with the candidate to give feedback and also submits a written report to the department chair,
33 copied to the candidate. The candidate may provide written comments on this report and the reviewer
34 may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.
35

36 *The suggested process above could be supplemented by departmental guidelines for peer reviewers to*
37 *use. Such guidelines should distinguish between reviews that are formative (provided as feedback to the*
38 *faculty member instructing the course) and those that are evaluative (used in promotion reviews and*
39 *performance reviews).. The University Center for the Advancement of Teaching (www.ucat.osu.edu)*
40 *offers assistance in such endeavors.*
41