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2 **Appointments, Promotion, and Tenure Criteria and Procedures**
3 **Department of French and Italian**
4 **Revised: 06/27/14**
5

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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/rules/university-rules.html>); the annually updated procedural guidelines
5 for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and
6 Procedures Handbook (<http://oaa.osu.edu/handbook.html>); and other policies and procedures of
7 the college and university to 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
10 until such time as it can update this document to reflect the changes. In addition, this document
11 must be reviewed, and either reaffirmed or revised, at least every four years on the appointment
12 or reappointment of the department chair.
13

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

22 The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-
23 6-01 (<http://trustees.osu.edu/rules/university-rules.html>) of the Administrative Code. In
24 particular, all faculty members accept the responsibility to participate fully and knowledgeably in
25 review processes; to exercise the standards established in Faculty Rule 3335-6-02
26 (<http://trustees.osu.edu/rules/university-rules.html>) and other standards specific to this
27 department and college; and to make negative recommendations when these are warranted in
28 order to maintain and improve the quality of the faculty.
29

30 Decisions considering appointment, reappointment, and promotion and tenure will be free of
31 discrimination in accordance with the university's policy on equal opportunity
32 (<http://hr.osu.edu/policy/policy110.pdf>).
33

34 **II Department Mission**

35
36 The mission of the Department of French and Italian is threefold: to attract and cultivate a world-
37 class faculty whose research contributes in innovative and substantial ways to the fields of
38 French and Italian Studies; to attract high-achieving graduate students and train them to become
39 outstanding scholars and teachers at the university level; and to attract high-achieving
40 undergraduate students from Ohio and beyond and provide them with the practical and critical
41 skills in language and culture necessary to succeed in a globalized world..
42

43 **III Definitions**

44
45 **A Committee of the Eligible Faculty**
46

1 **1 Tenure-track Faculty**

2
3 The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track
4 faculty whose tenure resides in the department. For an appointment at senior rank, a second vote
5 is taken by the faculty members eligible to vote on the rank under consideration.

6
7 The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure,
8 and promotion reviews of tenure-track faculty consists of all tenured faculty of higher rank than
9 the candidate whose tenure resides in the department excluding the department chair, the dean
10 and assistant and associate deans of the college, the executive vice president and provost, and the
11 president.

12
13 For tenure reviews of probationary professors, eligible faculty are tenured professors whose
14 tenure resides in the department excluding the department chair, the dean and assistant and
15 associate deans of the college, the executive vice president and provost, and the president.

16
17 **2 Conflict of Interest**

18
19 A conflict of interest exists when an eligible faculty member is related to a candidate or has a
20 comparable close interpersonal relationship, has substantive financial ties with the candidate, is
21 dependent in some way on the candidate's services, has a close professional relationship with the
22 candidate (dissertation advisor), or has collaborated so extensively with the candidate that an
23 objective review of the candidate's work is not possible. Generally, faculty members who have
24 collaborated with a candidate on at least 50% of the candidate's published work since the last
25 promotion will be expected to withdraw from a promotion review of that candidate.

26
27 **3 Minimum Composition**

28
29 In the event that the department does not have at least three eligible faculty members who can
30 undertake a review, the department chair, after consulting with the dean, will appoint a faculty
31 member from another department within the college.

32
33 **B Promotion and Tenure Committee**

34
35 The department has a Promotion and Tenure Committee that assists the Committee of the
36 Eligible Faculty in managing the personnel and promotion and tenure issues. The committee
37 normally consists of two full professors and one associate professor. The committee's chair and
38 membership are appointed by the department chair.

39 **C Quorum**

40
41 The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible
42 faculty not on an approved leave of absence. A member of the eligible faculty on Special
43 Assignment may be excluded from the count for the purposes of determining quorum only if the
44 department chair has approved an off-campus assignment.

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

3 4 **D Recommendation from the Committee of the Eligible Faculty**

5
6 In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are
7 not votes. Faculty members are strongly encouraged to consider whether they are participating
8 fully in the review process when abstaining from a vote on a personnel matter.

9
10 Absentee ballots and proxy votes are not permitted.

11 12 **1 Appointment**

13
14 A positive recommendation from the eligible faculty for appointment, reappointment, promotion
15 and tenure, and promotion is secured when a simple majority of the votes cast are positive.

16 17 18 **IV Appointments**

19 20 **A Criteria**

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

30 31 **1 Tenure-track Faculty**

32
33 **Instructor.** Appointment at the rank of instructor is made only when the offered appointment is
34 that of assistant professor, but requirements for the terminal degree have not been completed by
35 the candidate at the time of appointment. The department will make every effort to avoid such
36 appointments. An appointment at the instructor level is limited to three years. When an instructor
37 has not completed requirements for promotion to the rank of assistant professor by the end of the
38 third year of appointment, the third year is a terminal year of employment.

39
40 Upon promotion to assistant professor, the faculty member may request prior service credit for
41 time spent as an instructor. This request must be approved by the department’s eligible faculty,
42 the department chair, the dean, and the Office of Academic Affairs. Faculty members should
43 carefully consider whether prior service credit is appropriate since prior service credit cannot be
44 revoked without a formal request for an extension of the probationary period. In addition all
45 probationary faculty members have the option to be considered for early promotion.

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

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

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

23 24 **2 Tenure-track Faculty—Regional Campus**

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

30 31 **3 Associated Faculty**

32
33 Associated faculty appointments may be as short as a couple weeks to assist with a focused
34 project, a semester to teach one or more courses, or for up to three years when a longer contract
35 is useful for long-term planning and retention. With the exception of visiting faculty, associated
36 faculty may be reappointed.

37
38 **Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct
39 appointments may be compensated or uncompensated. Adjunct faculty appointments are given to
40 individuals who give academic service to the department, such as teaching a course or serving on
41 graduate student committees, for which a faculty title is appropriate. Typically the adjunct
42 faculty rank is determined by applying the criteria for appointment of tenure-track
43 faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant
44 criteria are those for promotion of tenure-track faculty.

45

1 **Lecturer.** Appointment as lecturer normally requires that the individual have, at a minimum, a
2 Master's degree in a field appropriate to the subject matter to be taught. However, occasional
3 appointments of native French or Italian speakers as lecturers for introductory language courses
4 may be made with the approval of the Office of Academic Affairs. Evidence of ability to provide
5 high-quality instruction is desirable. Lecturers are not eligible for tenure, but may be promoted to
6 senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a
7 lecturer should generally not exceed one year.

8
9 **Senior Lecturer.** Appointment as senior lecturer requires that the individual have, at a
10 minimum, a doctorate in a field appropriate to the subject matter to be taught, along with
11 evidence of ability to provide high-quality instruction; or a Master's degree and at least five years
12 of teaching experience with documentation of high quality. Senior lecturers are not eligible for
13 tenure or promotion. The initial appointment for a senior lecturer should generally not exceed
14 one year.

15
16 **Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at
17 tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or
18 uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined
19 by applying the criteria for appointment of tenure-track faculty. Associated faculty members
20 with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are
21 those for promotion of tenure-track faculty.

22
23 **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting**
24 **Professor.** Visiting faculty appointments may either be compensated or not compensated.
25 Visiting faculty members on leave from an academic appointment at another institution are
26 appointed at the rank held in that position. The rank at which other (non-faculty) individuals are
27 appointed is determined by applying the criteria for appointment of tenure-track faculty. Visiting
28 faculty members are not eligible for tenure or promotion. They may not be reappointed for more
29 than three consecutive years at 100% FTE.

30 31 **4 Courtesy Appointments for Faculty**

32
33 Occasionally the active academic involvement in this department by a tenure-track faculty
34 member from another department at Ohio State warrants the offer of a 0% FTE (courtesy)
35 appointment in this department. Appropriate active involvement includes research collaboration,
36 graduate student advising, teaching some or all of a course from time to time, or a combination
37 of these. A courtesy appointment is made at the individual's current Ohio State rank, with
38 promotion in rank recognized.

39 40 **B Procedures**

41
42 See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty
43 Appointments in the Office of Academic Affairs [Policies and Procedures Handbook](http://oaa.osu.edu/handbook.html)
44 (<http://oaa.osu.edu/handbook.html>) for information on the following topics:

- 45
46 • recruitment of tenure-track faculty

- 1 • appointments at senior rank or with prior service credit
- 2 • hiring faculty from other institutions after April 30
- 3 • appointment of foreign nationals
- 4 • letters of offer

5

6 **1 Tenure-track Faculty**

7

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

13

14 Searches for tenure-track faculty proceed as follows:

15

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

19

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

23

24 The search committee:

25

- 26 • Appoints a Diversity Advocate who is responsible for providing leadership in assuring
27 that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- 28
- 29 • Develops a search announcement for internal posting in the university Personnel Postings
30 (formerly known as the "green sheet") through the Office of Human Resources
31 Employment Services (www.hr.osu.edu/) and external advertising, subject to the
32 department chair's approval. The announcement will be no more specific than is
33 necessary to accomplish the goals of the search, since an offer cannot be made that is
34 contrary to the content of the announcement with respect to rank, field, credentials,
35 salary. In addition, timing for the receipt of applications will be stated as a preferred date,
36 not a precise closing date, in order to allow consideration of any applications that arrive
37 before the conclusion of the search.
- 38
- 39 • Develops and implements a plan for external advertising and direct solicitation of
40 nominations and applications. If there is any likelihood that the applicant pool will
41 include qualified foreign nationals, the search committee must assure that at least one
42 print (as opposed to on-line) advertisement appears in a location likely to be read by
43 qualified potential applicants. The university does not grant tenure in the absence of
44 permanent residency ("green card"), and strict U. S. Department of Labor guidelines do
45 not permit sponsorship of foreign nationals for permanent residency unless the search
46 process resulting in their appointment to a tenure-track position included an

1 advertisement in a field-specific nationally circulated professional journal.

- 2
- 3 • Screens applications and letters of recommendation and chooses roughly twelve
- 4 candidates to interview either in person at the Modern Language Convention or
- 5 electronically.
- 6
- 7 • Chooses normally three of these candidates to invite for on-campus interviews.
- 8

9 On-campus interviews with candidates must include opportunities for interaction with faculty
10 groups, including the search committee; graduate students; the department chair; and the dean or
11 designee. In addition, all candidates make a presentation to the faculty and graduate students on
12 their scholarship. All candidates interviewing for a particular position must follow the same
13 interview format.

14

15 Following completion of on-campus interviews, the eligible faculty meet to discuss the
16 candidates. The search committee opens the meeting by presenting to the rest of the faculty its
17 assessment of each candidate. The faculty first votes on whether it deems each candidate
18 potentially hireable, with a simple majority deciding the question. The eligible faculty reports the
19 results of each of these votes to the department chair. Candidates not deemed hireable are
20 excluded from the rest of the discussion.

21

22 The search committee then presents its recommendation concerning which of the viable
23 candidates (assuming there are more than one) should be offered the position first; which,
24 second; and so on. The faculty then votes on whether it would like to offer the position to the
25 search committee's first choice. A simple majority decides the question. If a majority of the
26 faculty supports this first candidate, the faculty then votes on whether it would like to extend the
27 offer to the search committee's second choice if the first candidate declines; and so on.

28

29 If a majority of the faculty does not support offering the position first to the search committee's
30 first choice, it then votes on whether it would like to extend the offer first to the second viable
31 candidate (if there is one) instead. The procedure is repeated a third time if a majority does not
32 support making the offer to the second candidate and there is a third viable candidate. The
33 eligible faculty then reports the results of each of these votes to the department chair.

34

35 If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of
36 the proposed rank for each viable candidate. If the offer may involve prior service credit, the
37 eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports
38 a recommendation on the appropriateness of the proposed rank or the appropriateness of prior
39 service credit to the department chair.

40

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

46

1 **2 Tenure-track Faculty—Regional Campus**

2
3 The regional campus has primary responsibility for determining the position description for a
4 tenure-track faculty search, but the dean/director or designee consults with the department chair
5 to reach agreement on the description before the search begins. The regional campus search
6 committee must include at least one representative from the department.
7

8 Candidates are interviewed by, at a minimum, the regional campus dean, department chair,
9 department eligible faculty, and regional campus search committee. The regional campus may
10 have additional requirements for the search not specified in this document. A decision to make
11 an offer requires agreement by the department chair and regional campus dean. Until agreement
12 is reached, negotiations with the candidate may not begin, and the letter of offer must be signed
13 by the department chair and the regional campus dean.
14

15 **3 Associated Faculty**

16
17 The appointment, review, and reappointment of all compensated associated faculty is decided by
18 the department chair in consultation with the department Executive Committee.
19

20 Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed
21 by any faculty member in the department and is decided by the department chair in consultation
22 with the faculty.
23

24 Compensated associated appointments are generally made for a period of one year, unless a
25 shorter or longer period is appropriate to the circumstances. All associated appointments expire
26 at the end of the appointment term and must be formally renewed to be continued. Visiting
27 appointments may be made for one term of up to three years or on an annual basis for up to three
28 consecutive years.
29

30 Lecturer and senior lecturer appointments are usually made on a semester by semester or annual
31 basis. After the initial appointment, and if the department's curricular needs warrant it, a multiple
32 year appointment may be offered.
33

34 Associated faculty for whom promotion is a possibility follow the promotion guidelines and
35 procedures for tenure-track faculty (see Appointment Criteria above), with the exception that the
36 review does not proceed to the college level if the department chair's recommendation is
37 negative, and does not proceed to the university level if the dean's recommendation is negative.
38

39 **4 Courtesy Appointments for Faculty**

40
41 Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-
42 track, faculty member from another Ohio State department. A proposal that describes the
43 uncompensated academic service to this department justifying the appointment is considered at a
44 regular faculty meeting. If the proposal is approved by the eligible faculty, the department chair
45 extends an offer of appointment. The department chair reviews all courtesy appointments every
46 three years to determine whether they continue to be justified, and takes recommendations for
47 nonrenewal before the faculty for a vote at a regular meeting.

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5 Chair

A departmental chair search committee will include a Dean’s representative and will exclude the sitting chair. The search committee will present the Dean an unranked list of candidates deemed acceptable to the Department. The Dean then appoints the chair from the candidates on that list.

The Dean in consultation with the Department will appoint an Acting Chair. The Dean appoints Summer Acting Chairs.

V Annual Review Procedures

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

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

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material must be submitted to the department chair no later March 1.

The department chair is required (per Faculty Rule 3335-3-35 [\[http://trustees.osu.edu/rules/university-rules.html\]](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 [\[http://trustees.osu.edu/rules/university-rules.html\]](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 eligible faculty and the chair. The Promotion and Tenure Committee prepares and presents to the rest of the faculty a summary of each probationary tenure-track faculty member’s activities in teaching, research, and service over the previous calendar year. The chair of the P&T Committee then writes a letter to the chair that reflects the faculty’s assessment of the probationary faculty member’s activities. The chair then writes a letter to the probationary faculty member containing his/her assessment of the latter’s activities and performance and a recommendation on whether to renew the probationary appointment. The chairs of the department and of the P&T Committee then meet with the faculty member to discuss his or her performance, future plans, and goals.

At least three-quarters of the Promotion and Tenure Committee members on duty at the time the vote is taken must be present. The majority of those voting determine the outcome. Absentee ballots are not allowed.

1 The Chair of the Department will transmit to the faculty member the final outcome of the review
2 in two ways: orally, in the presence of a third, tenured faculty member, and in writing. If the
3 Chair of the Department disagrees in important ways with the faculty in its assessment of the
4 candidate's performance, he or she will make clear to the candidate his or her evaluation as well
5 as that of the faculty.
6

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

15 If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty
16 Rule 3335-6-04 [<http://trustees.osu.edu/rules/university-rules.html>]) is invoked. Following
17 completion of the comments process, the complete dossier is forwarded to the college for review
18 and the dean makes the final decision on renewal or nonrenewal of the probationary
19 appointment.
20

21 **1 Regional Campus Faculty**

22

23 Annual review of the probationary faculty member is first conducted on the regional campus,
24 with a focus on teaching and service. The review then moves to the department, this time with a
25 focus on research. In the event of divergence in performance assessment between the regional
26 campus and the department, the department chair discusses the matter with the regional campus
27 dean/director in an effort to clarify and reconcile the divergence, so that the faculty member
28 receives consistent assessment and advice.
29

30 **2 Fourth-Year Review**

31

32 During the fourth year of the probationary period the annual review follows the same procedures
33 as the mandatory tenure review, with the exception that external evaluations are optional and the
34 dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the
35 probationary appointment.
36

37 External evaluations are only solicited when either the department chair or the eligible faculty
38 determine that they are necessary to conduct the Fourth-Year Review. This may occur when the
39 candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not
40 feel otherwise capable of evaluating the scholarship without outside input.
41

42 The eligible faculty conducts a review of the candidate. On completion of the review, the eligible
43 faculty votes by written ballot on whether to renew the probationary appointment.
44

45 The eligible faculty forwards a record of the vote and a written performance review to the
46 department chair. The department chair conducts an independent assessment of performance and

1 prepares a written evaluation that includes a recommendation on whether to renew the
2 probationary appointment. At the conclusion of the department review, the formal comments
3 process (per Faculty Rule 3335-6-04 [<http://trustees.osu.edu/rules/university-rules.html>]) is
4 followed and the case is forwarded to the college for review, regardless of whether the
5 department chair recommends renewal or nonrenewal.

7 **3 Exclusion of Time from Probationary Period**

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

14 **B Tenured Faculty**

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

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

27 **C Tenured Faculty—Regional Campus**

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

36 **D Associated Faculty**

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

44 Compensated associated faculty members on a multiple year appointment are reviewed annually
45 by the department chair, or designee. The department chair, or designee, prepares a written
46 evaluation and meets with the faculty member to discuss his or her performance, future plans,

1 and goals. No later than October 15 of the final year of the appointment, the chair will decide
2 whether or not to reappoint. The department chair's recommendation on reappointment is final.

3 4 **VI Merit Salary Increases and Other Rewards**

5 6 **A Criteria**

7
8 Except when the university dictates any type of across the board salary increase, all funds for
9 annual salary increases are directed toward rewarding meritorious performance and assuring, to
10 the extent possible given financial constraints, that salaries reflect the market and are internally
11 equitable.

12
13 On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to
14 recognize non-continuing contributions that justify reward but do not justify permanent salary
15 increases. Such payments/rewards are considered at the time of annual salary recommendations.

16
17 Meritorious performance in teaching, scholarship, and service are assessed in accordance with
18 the same criteria that form the basis for promotion decisions. The time frame for assessing
19 performance will be the past 36 months, with attention to patterns of increasing or declining
20 productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern
21 of consistent professional growth will necessarily be favored. Faculty members whose
22 performance is unsatisfactory in one or more areas are likely to receive minimal or no salary
23 increases.

24
25 Faculty who fail to submit the required documentation for an annual review at the required time
26 will receive no salary increase in the year for which documentation was not provided, except in
27 extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

28 29 **B Procedures**

30
31 The department chair recommends annual salary increases and other performance rewards to the
32 dean, who may modify these recommendations. In formulating recommendations, the
33 department chair consults with the department Salary Advisory Committee. Salary increases are
34 formulated in dollar amounts rather than percentage increases, with the goal of distributing
35 available funds in a manner that achieves the optimal distribution of salaries. As a general
36 approach to formulating salary recommendations, the department chair divides faculty into at
37 least three groups based on continuing productivity (high, average, unsatisfactory) and considers
38 market and internal equity issues as appropriate.

39
40 Faculty members who wish to discuss dissatisfaction with their salary increase with the
41 department chair should be prepared to explain how their salary (rather than the increase) is
42 inappropriately low, since increases are solely a means to the end of an optimal distribution of
43 salaries.

44 45 **C Documentation**

46

1 The annual performance review of every faculty member requires that all documentation
2 described below, including the two summary documents, be submitted to the department chair no
3 later than March 1.

- 4
- 5 • updated CV, which will be made available to all faculty in an accessible place
- 6 • updated Office of Academic Affairs dossier outline, Volume 3
- 7 (<http://oaa.osu.edu/handbook.html>)
- 8

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

12

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

16

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

18

19 **1 Teaching**

20

21 Cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries
22 prepared by the Office of the University Registrar) and summaries of SETs (departmental
23 student evaluations of teaching) for every class taught.

24

25 Peer observation of teaching reports as required by the department's peer observation of teaching
26 program (details provided in section X of this document).

27

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

34

35 Other relevant documentation of teaching as appropriate.

36

37 **2 Scholarship**

38

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

43

44 Documentation of grants and contracts received.

45

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

4 5 **3 Service**

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

9 10 **VII Promotion and Tenure and Promotion Reviews**

11 12 **A Criteria**

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

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

29 30 **1 Promotion to Associate Professor with Tenure**

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

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

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

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

1
2 Every candidate is held to a high standard of excellence in all aspects of performance. Accepting
3 weakness in any aspect of performance in making a tenure decision is tantamount to deliberately
4 handicapping the department's ability to perform and to progress academically. Above all,
5 candidates are held to a very high standard of excellence in the areas central to their
6 responsibilities. If a candidate's primary teaching role is and will continue to be undergraduate
7 teaching, then excellence in undergraduate teaching is required. A mediocre performance in this
8 area would not be adequately counterbalanced by excellent performance in another aspect of
9 teaching that is a significantly smaller part of the individual's responsibilities.

10
11 Excellence in teaching, scholarship, and service are moreover defined to include professional
12 ethical conduct in each area of responsibility, consistent with the American Association of
13 University Professors' Statement on Professional Ethics
14 (<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>).

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

20 21 **Teaching**

22
23 For promotion to associate professor with tenure, a faculty member is expected to have:

- 24
25 • provided up-to-date content at an appropriate level in every instructional situation and
26 demonstrated continuing growth in subject matter knowledge
- 27
28 • demonstrated the ability to organize and present class material effectively with logic,
29 conviction, and enthusiasm
- 30
31 • demonstrated creativity in the use of various modes of instruction, classroom technology,
32 and other teaching strategies to create an optimal learning environment
- 33
34 • engaged students actively in the learning process and encouraged independent thought,
35 creativity, and appreciation of the knowledge creation process
- 36
37 • provided appropriate and timely feedback to students throughout the instructional process
- 38
39 • treated students with respect and courtesy
- 40
41 • improved curriculum through revision or new development of courses and/or academic
42 programs
- 43
44 • served as advisor to an appropriate number of graduate students given the department's
45 graduate student/faculty ratio and the faculty member's area(s) of expertise
- 46

- engaged in documentable efforts to improve 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 scholarship more than unpublished scholarship, and original works more than edited works.
 - 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.

Typically, a candidate for promotion to the rank of Associate Professor with tenure will be expected to present to reviewers a book published (or at least a finished manuscript under final, board-approved contract and in production) by a scholarly press with a strong reputation as well as a number of articles in refereed journals that demonstrate original and important scholarship in the field. For candidates in pedagogy, evidence of an active research program may also include textbooks and refereed articles that incorporate or present theoretical ideas or advances in pedagogy; it may also include innovative instructional software and other technology-based instructional materials and systems. In certain sub-disciplines in the Department such as linguistics, the publication of several substantial articles may represent effort and achievement comparable to the publication of a book in other disciplines.

Recognition should also be given to works of translation and when appropriate, the primary forms of scholarship noted in the paragraph above may be supplemented by creative contributions, such as public performance and creative writing.

All candidates must also show other evidence of scholarly production in the form of publication of articles in major refereed journals, chapters in edited volumes, presentations at scholarly meetings, and the gaining of or efforts to gain outside funding for research.

- 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, editorship of a journal or book series, and a beginning trend of positive citations in other researchers' publications. A reputation based

1 on the quality of the research contribution is distinguished from one based mainly on
2 familiarity through the faculty member's frequent attendance at national and international
3 conferences.

- 4
- 5 • Demonstrated a high degree of ethics in the conduct of research including, but not limited
6 to, full and timely adherence to all regulations relevant to the research program, and
7 ethical treatment of graduate students, postdoctoral fellows, and collaborators.
- 8

9 **Service**

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

- 11
- 12
- 13 • fulfilled all assigned service duties in a proactive, thorough, and timely manner
- 14 • made substantive contributions to the governance of the department in a manner that
- 15 facilitates positive contributions by others
- 16 • demonstrated the potential for useful contributions to the profession
- 17

18

19 **2 Promotion to Professor**

20

21 Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules.html>) establishes the
22 following general criteria for promotion to the rank of professor:

23

24 *Promotion to the rank of professor must be based on convincing evidence that the faculty*
25 *member has a sustained record of excellence in teaching; has produced a significant*
26 *body of scholarship that is recognized nationally or internationally; and has*
27 *demonstrated leadership in service.*

28

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

33

34 The candidate for promotion to the rank of professor is expected to present to reviewing
35 committee(s) substantial publication beyond that which earned promotion to the rank of associate
36 professor. Typically, this will consist of one or more additional books and regular publication in
37 refereed journals and edited volumes. The candidate will also be expected to demonstrate a
38 continuous record of participation at conferences where he or she will have presented papers.
39 For candidates in pedagogy, evidence of an active research program may also include
40 instructional software as well as textbooks and refereed articles beyond that which earned
41 promotion to the rank of associate professor. For candidates in sub-disciplines in the Department
42 such as linguistics, more weight may be attributed to a second series of substantive articles.
43 Candidates must continue to show other evidence of additional scholarly productivity in the form
44 of articles in major refereed journals, presentations at scholarly meetings, and the gaining of or
45 efforts to gain outside funding for research.

46

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

4
5 In addition, as further specified by Faculty Rule 3335-6-02, assessment is in relation to specific
6 assigned responsibilities with reasonable flexibility being exercised in order to balance, where
7 the case requires, heavier responsibilities and commitment in one area against lighter ones in
8 another.

9
10 In the evaluation of untenured professors for tenure, the same criteria apply, along with any
11 others established in writing at the time a senior rank appointment without tenure was offered.

12 13 **3 Regional Campus Faculty**

14
15 The primary function of the regional campuses is to provide high-quality undergraduate
16 instruction and to serve the academic needs of their communities. With this consideration in
17 mind, in evaluating regional campus faculty for promotion and tenure or promotion, the
18 department will give greater emphasis to the quality of teaching and service relative to
19 scholarship. Recognizing that the character and quantity of scholarship by regional campus
20 faculty may differ from that of Columbus campus faculty, due to the weight of other
21 responsibilities and lack of access to comparable resources, the department nevertheless expects
22 regional campus faculty to establish a program of high-quality scholarly activity. The
23 Department expects a coherent body of research that will normally consist of several articles
24 published in important refereed journals and a book that has been published or accepted for
25 publication by a scholarly press with a strong reputation. It also expects that the faculty member
26 will have read some papers at national conferences. For promotion to full professor, the
27 Department expects continued participation in conferences and a dossier that will normally
28 include several additional articles and one additional book. In all cases, quality is more important
29 than quantity.

30 31 32 **B Procedures**

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

40 41 **1 Candidate Responsibilities**

42
43 Candidates are responsible for submitting a complete, accurate dossier fully consistent with
44 Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic
45 Affairs Candidate Checklist without ascertaining that they have fully met the requirements set

1 forth in the Office of Academic Affairs core dossier outline including, but not limited to, those
2 highlighted on the checklist.

3
4 If external evaluations are required candidates are responsible for reviewing the list of potential
5 external evaluators developed by the department chair and the Promotion and Tenure
6 Committee. The candidate may add no more than three additional names, but is not required to
7 do so. The candidate may request the removal of no more than two names, providing the reasons
8 for the request. The department chair decides whether removal is justified. (Also see External
9 Evaluations below.)

10 11 **2 Promotion and Tenure Committee Responsibilities**

12
13 The responsibilities of the Promotion and Tenure Committee are as follows:

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

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40
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
 - **Late Spring:** Suggest names of external evaluators to the department chair.
 - **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, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
 - Revise the draft analysis of each case following the faculty meeting, 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 eligible faculty, 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 full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.

41 **3 Eligible Faculty Responsibilities**

42
43 The responsibilities of the members of the eligible faculty are as follows:

- 44
45
46
- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.

- 1
2 • To attend all eligible faculty meetings except when circumstances beyond one's control
3 prevent attendance; to participate in discussion of every case; and to vote.
4

5 **4 Department Chair Responsibilities**

6

7 The responsibilities of the department chair are as follows:
8

- 9 • Where relevant, to verify the prospective candidate's residency status. Faculty members
10 who are neither citizens nor permanent residents of the United States may not undergo a
11 non-mandatory review for tenure, and tenure will not be awarded as the result of a
12 mandatory review until permanent residency status is established. Faculty members not
13 eligible for tenure due to lack of citizenship or permanent residency are moreover not
14 considered for promotion by this department.
15
- 16 • **Late Spring Semester:** To solicit external evaluations from a list including names
17 suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also
18 see External Evaluations below.)
19
- 20 • To make adequate copies of each candidate's dossier available in an accessible place for
21 review by the eligible faculty at least two weeks before the meeting at which specific
22 cases are to be discussed and voted.
23
- 24 • To remove any member of the eligible faculty from the review of a candidate when the
25 member has a conflict of interest but does not voluntarily withdraw from the review.
26
- 27 • To attend the meetings of the eligible faculty at which promotion and tenure matters are
28 discussed and respond to questions raised during the meeting.
29
- 30 • **Mid-Autumn Semester:** To provide an independent written evaluation and
31 recommendation for each candidate, following receipt of the eligible faculty's completed
32 evaluation and recommendation.
33
- 34 • To meet with the eligible faculty to explain any recommendations contrary to the
35 recommendation of the committee.
36
- 37 • To inform each candidate in writing after completion of the department review process:
38
- 39 ○ of the recommendations by the eligible faculty and department chair
 - 40
 - 41 ○ of the availability for review of the written evaluations by the eligible faculty and
42 department chair
 - 43
 - 44 ○ of the opportunity to submit written comments on the above material, within ten
45 days from receipt of the letter from the department chair, for inclusion in the
46 dossier. The letter is accompanied by a form that the candidate returns to the

1 department chair, indicating whether or not he or she expects to submit
2 comments.

- 3
- 4 • To provide a written response to any candidate comments that warrants response for
5 inclusion in the dossier.
- 6
- 7 • To forward the completed dossier to the college office by that office's deadline, except in
8 the case of associated faculty for whom the department chair recommends against
9 promotion. A negative recommendation by the department chair is final in such cases.
- 10
- 11 • To receive the Promotion and Tenure Committee's written evaluation and
12 recommendation of candidates who are joint appointees from other tenure-initiating units,
13 and to forward this material, along with the department chair's independent written
14 evaluation and recommendation, to the department chair of the other tenure-initiating unit
15 by the date requested.
- 16

17 **5 Procedures for Regional Campus Faculty**

18
19 Regional campus faculty are first reviewed by the regional campus faculty according to the
20 process established on that campus and then by the regional campus dean/director. The regional
21 campus review focuses on teaching and service.

22
23 The regional campus dean/director forwards the written evaluation and recommendation of the
24 regional campus review to the department chair, from which point the review follows the
25 procedures described for the Columbus campus faculty.

26 27 **6 External Evaluations**

28
29 External evaluations of scholarly activity and research are obtained for all promotion reviews in
30 which scholarship must be assessed. A minimum of five credible and useful evaluations must be
31 obtained. A credible and useful evaluation:

- 32
- 33 • Is written by a person highly qualified to judge the candidate's scholarship (or other
34 performance, if relevant) who is not a close personal friend, research collaborator, or
35 former academic advisor or post-doctoral mentor of the candidate. Qualifications are
36 generally judged on the basis of the evaluator's expertise, record of accomplishments, and
37 institutional affiliation. This department will only solicit evaluations from full professors
38 at institutions comparable to Ohio State. In the case of an assistant professor seeking
39 promotion to associate professor with tenure, a minority of the evaluations may come
40 from associate professors.
- 41
- 42 • Provides sufficient analysis of the candidate's performance to add information to the
43 review. A letter's usefulness is defined as the extent to which the letter is analytical as
44 opposed to perfunctory. Under no circumstances will "usefulness" be defined by the
45 perspective taken by an evaluator on the merits of the case.
- 46

1 Since the department cannot control who agrees to write and or the usefulness of the letters
2 received, at least twice as many letters are sought as are required, and they are solicited no later
3 than the end of the spring semester prior to the review year. This timing allows additional letters
4 to be requested should fewer than five useful letters result from the first round of requests.
5

6 As described above, a list of potential evaluators is assembled by the Promotion and Tenure
7 Committee, the department chair, and the candidate. If the evaluators suggested by the candidate
8 meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty
9 Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) requires that no more than
10 half the external evaluation letters in the dossier be written by persons suggested by the
11 candidate. In the event that the person(s) suggested by the candidate do not agree to write,
12 neither the Office of Academic Affairs nor this department requires that the dossier contain
13 letters from evaluators suggested by the candidate.
14

15 The department follows the Office of Academic Affairs suggested format, provided at
16 <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.
17

18 Under no circumstances may a candidate solicit external evaluations or initiate contact in any
19 way with external evaluators for any purpose related to the promotion review. If an external
20 evaluator should initiate contact with the candidate regarding the review, the candidate must
21 inform the evaluator that such communication is inappropriate and report the occurrence to the
22 department chair, who will decide what, if any, action is warranted (requesting permission from
23 the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's
24 self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a
25 lapse, in the course of the review process.
26

27 All solicited external evaluation letters that are received must be included in the dossier. If
28 concerns arise about any of the letters received, these concerns may be addressed in the
29 department's written evaluations or brought to the attention of the Office of Academic Affairs for
30 advice.
31

32 **C Documentation** 33

34 As noted above under Candidate Responsibilities, every candidate must submit a complete and
35 accurate dossier that follows the Office of Academic Affairs dossier outline. While the
36 Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and
37 completeness, the candidate bears full responsibility for all parts of the dossier that are to be
38 completed by the candidate.
39

40 The complete dossier, including the documentation of teaching noted in bold below, is forwarded
41 when the review moves beyond the department. The documentation of scholarship and service
42 noted below is for use during the department review only, unless reviewers at the college and
43 university levels specifically request it.
44

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

1 Teaching

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

- **cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class**
- **summaries of departmental Student Evaluation of Teaching reports**
- **peer observation of teaching reports as required by the department (details provided in the Appendix to this document)**
- 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

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

- 1 • other relevant documentation of research as appropriate (published reviews including
2 publications where one's work is favorably cited, grants and contract proposals that have
3 been submitted)
- 4 • scholarship activities as listed in the core dossier including
 - 5 ○ documentation of creative works pertinent to the candidate's professional focus
6 including artwork, choreography, collections, compositions, curated exhibits,
7 moving images, multimedia, performances, radio, recitals, recordings, television,
8 and websites
 - 9 ○ documentation of inventions, patents, disclosures, options and commercial
10 licenses
 - 11 ○ list of prizes and awards for research, scholarly, or creative work

13 **3 Service**

14
15 The time period for material included in the dossier for probationary faculty is the date of hire to
16 present. For tenured or nonprobationary faculty it is the date of last promotion to present.

17 Examples of documentation include:

- 18
19 • service activities as listed in the core dossier including
 - 20 ○ involvement with professional journals and professional societies
 - 21 ○ consultation activity with industry, education, or government
 - 22 ○ administrative service to department
 - 23 ○ administrative service to college
 - 24 ○ administrative service to university and Student Life
 - 25 ○ advising to student groups and organizations
 - 26 ○ awards and prizes for service to profession, university, or department
- 27 • any available documentation (e.g. letters from committee chairs) of the quality of service
28 that enhances the list of service activities in the dossier

30 **VIII Appeals**

31
32 Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules.html>) sets forth general
33 criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper
34 evaluation are described in Faculty Rule 3335-5-05 ([http://trustees.osu.edu/rules/university-](http://trustees.osu.edu/rules/university-rules.html)
35 [rules.html](http://trustees.osu.edu/rules/university-rules.html)).

36
37 Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the
38 faculty member is required to document the failure of one or more parties to the review process
39 to follow written policies and procedures.

41 **IX Seventh-Year Reviews**

42
43 Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules.html>) sets forth the
44 conditions of and procedures for a Seventh Year Review for a faculty member denied tenure as a
45 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 departmental Student Evaluation of Teaching (SET) is required in every course offered in this department. Faculty should choose a day late in the semester when attendance is likely to be high to distribute the form. Faculty must designate a student in the class who will gather the completed forms and deliver them to the department office staff immediately following the class. Once the forms are distributed, faculty must leave the classroom while students are filling them out.

Use of the university's Student Evaluation of Instruction (eSEI) is also required in every course offered in this department. The faculty member should encourage a high completion rate by explaining to the class the significance of the evaluation and by reminding students frequently to fill the evaluation out on line or giving them the opportunity to do so in class through a mobile application. 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 Observation of Teaching

The department chair oversees the department's peer observation of teaching process. At the beginning of each year, the chair draws up a list of faculty for whom the department will need one or more peer observations of teaching that year. S/he will ask an appropriate faculty member to conduct the observation; if the latter is able to conduct the observation, the chair will ask the faculty member being observed to contact the observer to select a date and to supply him/her with the course syllabus and other relevant material. The chair will arrange for the observation of

- probationary tenure-track faculty at least once per semester during the first two years of service, and at least once per year during the remainder of the probationary period, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned in the course of each probationary year
- tenured associate professors at least once per year during the five years preceding the year the faculty member is put forward for promotion to full professor, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a three-year period
- full professors at least once every three years
- any faculty member not currently scheduled for review at the chair's discretion. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- 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,

1 but the report is given only to the faculty member who requested the review. Faculty
2 seeking formative reviews should also seek the services of the University Center for the
3 Advancement of Teaching (www.ucat.osu.edu).
4

5 Reviews conducted at the discretion of the department chair or at the request of a faculty member
6 focus on the specific aspects of instruction requested by the chair or faculty member.
7

8 Regularly scheduled peer teaching observations (the first three situations listed above) are
9 comprehensive and should include, in addition to class visitation, review of course syllabi and
10 related instruction materials. In the case of peer observation for the purposes of promotion and
11 tenure reviews, the class observation is conducted by one or more senior peers whom the
12 promotion and tenure chair has identified in consultation with the candidate. The peer observer
13 should meet with the candidate to establish a time for the visit and to understand the goals of the
14 course and the candidate's teaching philosophy. If possible, the peer observer should attend two
15 different class sessions over the course of the semester.
16

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