

**APPOINTMENTS,  
PROMOTION AND TENURE:  
CRITERIA AND PROCEDURES**

**College of Education and Human Ecology**

Approved by the Faculty June, 2013

APPOINTMENTS, PROMOTION AND TENURE: CRITERIA AND PROCEDURES -  
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## I. PREAMBLE

This College document is a supplement to the Chapters 6 and 7 of the Rules of the University Faculty (Additional Rules Concerning Tenure Track Faculty Appointments, Reappointments, Promotion and Tenure) <http://trustees.osu.edu/rules/university-rules.html> ; the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews <http://oaa.osu.edu/handbook.html> and other policies and procedures of the Tenure Initiating Unit (TIU), College and University to which the faculty are subject. Should those rules and policies change, the College will follow the new rules and policies until such time as it can update this document to reflect the changes.

This document must be approved by the Office of Academic Affairs before it may be implemented. In approving this document, the Office of Academic Affairs accepts the mission and criteria of the unit and delegates to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to unit mission and criteria.

The faculty and administration are bound by the principles articulated in Faculty Rule 3335-6-01 <http://trustees.osu.edu/rules/university-rules.html> of the Administrative Code. Peer review provides the foundation for decisions regarding faculty appointment, reappointment, and promotion and tenure (except when the provisions of paragraph (H) rule 3335-6-03 of the Administrative Code are invoked.) Peers are those faculty who can be expected to be the most knowledgeable regarding an individual's qualifications and performance—normally tenure initiating unit colleagues. Because of the centrality of peer review to these review processes, faculty vested with responsibility for providing peer review have an obligation to participate fully and knowledgeably in review processes, to exercise the standards established in faculty rule 3335-6-02 of the Administrative Code and other standards specific to the academic unit and discipline, and to make the negative recommendations when these are warranted to maintain and improve the quality of the faculty.

The College of Education and Human Ecology is comprised of three academic units, and each is a separate tenure initiating unit (TIU). These academic units consist of three departments.

- The Department of Educational Studies (ES)
- The Department of Teaching and Learning (T&L),
- The Department of Human Sciences (HS),

Following guidelines, rules and policies from the Office of Academic Affairs and from the College, each academic unit generates its own Appointments, Promotion and Tenure Criteria and Procedures (APT) document. This college document must be approved by a majority vote of the tenured and tenure-track faculty, the Dean of the College of Education and Human Ecology, and the Office of Academic Affairs before it may be implemented. In addition, this document must be reviewed, and either reaffirmed or revised, at least every five years on the appointment or reappointment of the dean.

The Associate Dean of Faculty Affairs will meet with the College Council or its designee committee to review college and department personnel policies and procedures and, where warranted, to make recommendations for changes in the college APT documents.

## II. COLLEGE MISSION

The mission of the College of Education and Human Ecology is consistent with the land-grant mission to build upon a tradition of excellence in promoting outstanding teaching, research, and service/engagement that significantly and positively impacts individuals, families, schools, and

consumers within our global communities. The foundation of the college's mission is a holistic ecosystems approach coupled with research. The research conducted in the College addresses the most pressing issues facing individuals, families, schools, consumers, and communities in local, state, national, and global contexts. Research informs our teaching and service/community engagement activities linking discovery, creativity, and practice, and is itself a specialized form of teaching that guides students and faculty in their search for new knowledge. Outstanding teaching is also highly valued in this college. The undergraduate mission, centered on education and other applied human sciences, focuses on building and maintaining high-quality undergraduate majors. The graduate mission is focused upon achieving national and international distinction in research, advanced professional development, and training for each of the specialty areas offered by the college. The service/community engagement mission is informed by our own and other high quality research and scholarship.

## **II A. Vision**

Our vision is to lead institutional efforts to extend and improve lifelong learning and lifespan development toward a better quality of life across our diverse society. We aspire to be a center of excellence in research and scholarly programs focusing on the complex issues affecting individuals, families, communities, educational institutions, and consumers within local, national, and global contexts.

## **II B. Core Values**

The College derives its mission, vision, core values, and practices from "The Rules of Engagement" as proffered by President E. Gordon Gee October 29, 2007. The college further derives its mission and vision from a set of eight core values. These values influence college relationships and decisions as they relate to faculty, staff, and student appointments and reviews, policy formation and implementation, and overall decision-making.

1. **Research:** The College is committed to the production and critical interpretation of high quality research that impacts knowledge building and practice and to the notion that this high level of inquiry supports all of our activities. Research is interrelated with theory development, practice, pedagogy, community relations, preparation, and all aspects of professional development.
2. **Educating Professionals:** The College is committed to the highest quality preparation of professional educators, academic researchers, clinical and other wellness practitioners, and leaders to assume positions in schools, universities, communities, business and industry, government, and private/public organizations whose primary purposes are consistent with the mission of the college.
3. **Diversity and Equity:** The College is committed to celebrating and learning from our diversity, broadly defined, as reflected in local, national, and global demographics and to promoting equity in terms of gender, race, age, linguistic background, national origin, physical ability, sexual identity or orientation and merit.
4. **Collaboration:** The College is committed to building relationships with and for professional and community-based constituencies and fostering integrated and interdisciplinary activities among and between faculty, staff and professionals.
5. **Professional Development:** The College is committed to ongoing professional development of its faculty and staff to promote the highest level of professional practice.
6. **Policy Formation:** The College is committed to participating in policy formation to improve quality of life and guide professional practice.
7. **Technology:** The College is committed to the innovative integration of e-learning and other technology into our programs and to developing, promoting, and monitoring policies about technology and technology use to further ensure excellence in achieving our mission

8. Land-Grant Mission: The College is committed to serving the citizens of the State of Ohio, the U.S., and the world through the land-grant mission of teaching, research, and service.

### III. DEFINITIONS

#### III A. Committee of the Eligible Faculty

##### III A 1. Tenure-track Faculty

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

The eligible faculty for reappointment, promotion and tenure, and promotion reviews of tenure track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president. The eligible faculty for appointment, reappointment, promotion and tenure, and promotion reviews of senior rank tenure track faculty consists of all senior rank tenured faculty whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

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

##### III A 2 Clinical Faculty

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

The eligible faculty for appointment reviews of senior rank clinical faculty including new appointments, reappointment, contract renewal, and promotion, consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department and all nonprobationary clinical faculty of higher rank than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

##### III A 3 Auxiliary Faculty

Compensated auxiliary faculty appointments are for persons holding a visiting professor position (at the rank of instructor, assistant, associate, and full professor) and are renewable annually for up to a maximum of three years. Such appointments are recommended by department chairs and approved by the dean. The department chair signs the letter of offer with pre-approval by the associate dean for Academic Affairs.

##### III A 4. Adjunct Faculty

Uncompensated adjunct and courtesy faculty appointments are available. Adjunct faculty appointments are initiated by the department chair and approved by the senior associate dean for Academic Affairs. These appointments may be renewed annually. A statement of the actual services to be performed by the adjunct faculty member and an updated vita should be presented with the request. The department chair should establish formal expectations for adjunct faculty,

and such appointments should be discontinued when expectations are not met.

### III A 5. Conflict of Interest

According to guidelines established by the Office of Academic Affairs, a conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional relationship with the candidate (e.g., dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion review of that candidate. Departments within the College may establish Conflict of Interest policies specific to the areas of research, teaching and service within their department as long as they incorporate the guidelines established by OAA and the College.

### III A 6 Minimum Composition

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

### III B Promotion and Tenure Committees

Each department will establish a promotion and tenure committee consistent with guidelines and policies established by the Office of Academic Affairs and the College. The department Promotion and Tenure Committee assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The department promotion and tenure committee must consist of a majority of tenure-track professors with the other member being tenure-track associate professors. There must be a minimum of three professors and two associate professors. The term of service is three years, with reappointment possible. When considering cases involving clinical faculty the Promotion and Tenure Committee may be augmented by two nonprobationary clinical faculty members at the discretion of the department chair.

### III C. College Promotion and Tenure Committee

The dean of a college shall have a standing faculty promotion and tenure committee, which is advisory to the dean. The college promotion and tenure committee consists of twelve tenured faculty; four (4) faculty from each department. Of the four faculty from each department, at least three must be professors. The dean appoints faculty to the college promotion and tenure committee based on recommendations from department chairs. Members shall not participate in the review of cases from their own departments (department procedures oversight designees (P.O.D.'s) may also be consulted with regard to processes employed in department reviews). The associate dean for faculty affairs chairs the college promotion and tenure committee, but does not vote.

### III D Quorum

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the

department chair has approved an off-campus assignment. Faculty members who recuse themselves because of a conflict of interest are not counted when determining quorum.

Only “yes” and “no” are votes. Consistent with Robert’s Rules of Order, the Office of Academic Affairs does not consider abstentions to be votes and they may not be counted in determining whether the unit’s recommendation on a case will be positive or negative. Only voting eligible faculty members present at the meetings about the candidate or participating in the meetings by teleconference may vote.

### III E. Recommendation from the Committee of the Eligible Faculty

Each TIU decides on the percentage of “yes” votes needed for a positive recommendation.

#### III E 1. Appointment

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

## IV APPOINTMENTS

### IV A Criteria

The College is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department and advance the mission of the College. Important considerations include the individual’s record to date in teaching, scholarship and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and students in a way that will enhance their academic work, enhance the research and teaching mission of the academic unit and the college; and attract other outstanding faculty and students to the department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the department. The search is either cancelled or continued, as appropriate to the circumstances, as determined by the Dean. Faculty appointments are recommended by department chairs to the dean along with information about the search and faculty support for the appointment. Appointments at the senior rank require OAA approval. The dean signs all letters of offer.

Within each academic unit faculty assignments vary, reflecting the broad range of the College mission and the many activities required to carry out the mission. The academic unit’s workload documents and APT documents must reflect the ranges in teaching, research, and service expectations among sections as well as among faculty within departments as per OAA policies (<http://oaa.osu.edu/policiesprocedureshandbook.html>). The College recognizes and values flexibility in assignments, while, at the same time, making sure that unit recommendations are consistent with unit, College, and University standards, criteria, policies and rules.

#### IV A 1. Tenure-track Faculty

Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. Department should make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the third year of appointment, the third year is a terminal year of employment. Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department's eligible faculty, the department chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition all probationary faculty members have the option to be considered for early promotion.

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

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

A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered. Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.

#### IV A 2 Tenure-track Faculty—Regional Campus

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

Letters of offer for regional campus faculty are signed by the regional campus dean and appropriate department chair. Candidates should be interviewed by the regional campus dean, school director or department chair, senior associate dean for Academic Affairs, and the search committee, and should meet with representation of both faculties.

#### IV A 3 Clinical Faculty

Appointment of clinical faculty entails a three year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to clinical faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the

department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule 3335-7 (<http://trustees.osu.edu/rules/university-rules.html>).

**Assistant Professor:** An earned master's degree or appropriate credentials demonstrating expertise in their relevant area of study and a minimum of five years of relevant experience in the workplace are the minimum requirements for appointment at the rank of clinical assistant professor. Evidence of teaching effectiveness and knowledge of current research impacting practice within the field of study is desired.

**Associate or Full Professor:** An earned master's degree or appropriate credentials demonstrating expertise in their relevant area of study and a minimum of five years of relevant experience in the workplace are the minimum requirements for appointment at the rank of associate professor or full professor. A doctorate or appropriate terminal degree in the field is preferred when hiring at this level. Evidence of the following is also required: current knowledge of research impacting practice with the field of study; ongoing engagement with practitioners in relevant context; sustained high-quality teaching; high-quality and impactful service both within and outside the university. For the appointment at Professor rank, candidate should have, in addition to the above, evidence of high-quality and impactful service at a local, state, or national level. Appointments at the rank of clinical associate or full professor must be approved by the Dean and require prior approval of the Office of Academic Affairs.

#### IV A 5. Associated Faculty

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

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

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

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

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with

tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

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

#### IV A 6 Courtesy Appointments for Faculty

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

#### IV A 7. Emeritus Faculty

Emeriti faculty appointments are for individuals who have served the university with the distinction, are regular faculty at the time of their retirement, and are recommended by the director or chair, the dean, the Office of Academic Affairs, and by the Board of Trustees for emeriti status. Office space is provided at the discretion of the school, department, or college as appropriate. Requests for faculty emeriti status originate with the director or chair and should be directed to the dean. The written request should include a copy of the faculty member's retirement letter and a short statement of justification, including effective date of emeriti status.

#### IV A 8 Joint Faculty Appointments

A joint faculty appointment is defined as one in which a faculty member has a compensated FTE appointment in two or more tenure initiating units. In this case, memorandum of understanding (MOU) between the colleges and their school/department is developed using the template created by OAA. The department chair, with the approval of the dean, will establish memorandums of understanding for appointments in cases where a non-TIU, such as an academic center, provides part of the funding for a faculty appointment. Such MOUs do not require OAA approval. (Refer to [http://oaa.ohio-state.edu/handbook/ii\\_facjointappt.html](http://oaa.ohio-state.edu/handbook/ii_facjointappt.html) for specific guidance on this process.)

#### IV B. Procedures

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

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

#### IV B 1 Tenure Track

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

Searches for tenure-track faculty proceed as follows:

The dean of the college provides approval for the department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise. The department chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department.

The search committee:

- a. Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- b. Develops a search announcement for internal posting in the university Personnel Postings (formerly known as the "green sheet") through the Office of Human Resources Employment Services ([www.hr.osu.edu/](http://www.hr.osu.edu/)) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- c. Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print (as opposed to on-line) advertisement appears in a location likely to be read by qualified potential applicants. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific nationally circulated professional journal.
- d. On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the department chair; and the dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship. All candidates interviewing for a particular position must follow the same interview format.
- e. Following completion of on-campus interviews, the search committee will seek input from the faculty and that input will be forwarded to the department chair as part of the search committee's recommendations. (See section III.D.1). If the offer involves a senior rank (associate or full professor), the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the department chair.

Appointments at Senior Rank (Associate or Full Professor), with or without tenure in the case of Tenure Track faculty, or with prior service credit, require prior approval by the college dean and the Office of Academic Affairs of a draft letter of offer accompanied by the following required documentation:

- Copy of the draft letter of offers
- Candidate's CV
- Five (5) external evaluations from credible writers, not all of whom were suggested by the candidate
- Reviews and recommendations by the:
  - Tenure initiating unit (TIU) promotion & tenure committee
  - TIU chair
  - College dean-(Consultation with the college promotion & tenure committee is at the discretion of the dean).

In the event that more than one candidate achieves the level of support required to extend an offer, the department chair recommends to the Dean which candidate to approach first; the Dean decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair after consultation with the dean of the college.

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

#### IV B 2 Tenure-track Faculty—Regional Campus

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

Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department eligible faculty, and regional campus search committee. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the department chair (who shall consult with the dean of the college) and the regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the department chair and the regional campus dean.

#### IV B 3 Clinical Faculty

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

The Dean approves the commencement of all clinical faculty searches, clinical faculty position descriptions and related advertisements. Clinical track faculty members are engaged primarily in instructional activities, in outreach, and in academic program leadership and support. Department chairs work with the Dean for approval to open a search. The position will be open for a regular fiscal year (approximately August through April); if unfilled, the position will be

closed and reopened upon approval from the Dean.

#### IV B 4 Transfer from the Tenure-track

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

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

Transfers from a clinical appointment are not permitted. Clinical faculty members and clinical track faculty members may apply for tenure track positions and compete in regular national searches for such positions.

#### IV B 5 Associated Faculty

The appointment, review, and reappointment of all compensated associated faculty is decided by department chairs in consultation with an appropriate department committee as described in the department's approved APT document.

Appointment of uncompensated adjunct or visiting faculty is governed by procedures as described in the department's approved APT document.

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

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

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

#### IV B 6 Courtesy Appointments for Faculty

Each department APT document will describe procedures for Courtesy appointments (0% FTE) and their renewal with the department.

### V. ANNUAL REVIEW PROCEDURES

Requirements for annual reviews are 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 policy on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described in each TIU's APT document consistent with university policies. This material must be submitted to the department chair no later than the final day of autumn semester classes.

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

#### V A. Probationary Tenure-track Faculty

Every probationary tenure-track faculty member must be reviewed annually by procedures described in the department's APT document. These procedures must include a review by the chair, who meets with the faculty member to discuss his or her performance and, future plans and goals. The chair's review may be informed by a review conducted by a faculty promotion and tenure committee, as described in the department's APT document. The department chair prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. If any part of the responsibilities of the probationary tenure-track faculty member's workload involves teaching, the annual review of probationary tenure-track faculty must include and be informed by a peer evaluation of teaching following procedures described in the department's APT document.

If the department chair recommends renewal of the appointment, this recommendation is final. The department chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The letter should also include specific recommendations for the faculty member's trajectory toward promotion and tenure. At each annual review meeting, the recommendations of the previous year's review letter should be discussed. The faculty member may provide written comments on the review. The department chair's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

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

#### V A 1. Regional Campus Faculty

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

#### V A 2 Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are

optional and the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are only solicited when either the department chair or the department promotion and tenure committee determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or there is reason to believe that the eligible faculty would be capable of evaluating the scholarship without outside input.

The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment. The eligible faculty forwards a record of the vote and a written performance review to the department chair. Regardless of the recommendation, the letter from the Committee of Eligible Faculty to the Department Chair must include recommendations regarding the faculty member's trajectory toward promotion and tenure.

The department chair conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. Regardless of the recommendation, the department chair's letter must include recommendations regarding the faculty member's trajectory toward promotion and tenure. At the conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04 [<http://trustees.osu.edu/rules/university-rules.html>]) is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal.

#### V A 3 Exclusion of Time from Probationary Period

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

#### V B Tenured Faculty

Each department APT document must describe procedures for the annual review of associate professors. These procedures must include a review of teaching (including a peer evaluation of teaching), research, and service, and a written performance review by a faculty committee consisting of full professors. The written performance review along with comments on the faculty member's progress toward promotion is submitted to the department chair. The department chair conducts an independent assessment; meets with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. Both the faculty committee's written performance review and the department chair's written evaluation must include recommendations intended to guide the faculty member toward promotion. The faculty member may provide written comments on the review.

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

#### V C Tenured Faculty—Regional Campus

Annual review of the tenured faculty member is first conducted on the regional campus, with a

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

#### V D Clinical Faculty

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

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

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

### **VI MERIT SALARY INCREASES AND OTHER REWARDS**

#### VI A Criteria

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

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

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

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

#### VI B Procedures

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

department chair consults with an appropriate department committee (e.g., the department Executive Committee or the department promotion and tenure committee) regarding procedures. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate.

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

## VI C Documentation

Each department APT document must describe the documentation that faculty members need to submit for their annual performance review. This documentation must minimally include an updated CV. Documentation should be submitted to the department chair no later than the final day of autumn semester classes.

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

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

## VII PROMOTION AND TENURE AND PROMOTION REVIEWS

### VII A Criteria

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

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

#### VII A 1 Promotion to Associate Professor with Tenure

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

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

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

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

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

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

Each department's APT needs to specify criteria in the areas of teaching, scholarship and service. These criteria need to be consistent with OAA guidelines and with the criteria stated in each area below. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

#### VII A 1 a. Teaching

Each department's APT document needs to define what constitutes high quality teaching in its department and procedures for the systematic evaluation of teaching. These procedures must include but are not limited to annual peer evaluation of teaching, and student evaluations (including SEI ratings). Other methods of documenting and evaluating teaching include:

- the candidate's self-assessment and statement of plans and goals;
- a summary of the candidate's portfolio on teaching, including documentation of formative evaluation;
- assessment of the success of the candidate's current and former graduate students and post-docs;
- the extent to which pedagogical materials developed by the candidate have been adopted by other faculty;
- the extent to which the candidate is invited to provide expertise on teaching at Ohio State, in professional societies, or at other institutions;
- teaching awards or other recognitions.

The department APT document must include procedures for discussion by the committee of eligible faculty of the criteria for high quality teaching.

### VII A 1 b. Scholarship

Each department's APT document needs to define what constitutes high quality scholarship within the diverse fields of research within which the faculty in the department conduct research. Definitions of high quality research inherently involve substantive, new contributions to the field and inherently involve a substantive impact on the field. Each department's APT documents needs to include procedures for the discussion by the committee of eligible faculty of definitions of high quality scholarship and the criteria for evaluating high quality scholarship. Although definitions and criteria for high quality scholarship may include dissemination of scholarship in high impact, peer reviewed venues, definitions and criteria for high quality scholarship must go beyond places of dissemination and must include interpretation of the substance and rigor of the scholarship and its impact on the field.

### VII A 1 c Service

Each department APT document must describe criteria for the evaluation of service (including internal and external service and outreach) and the weight service has in relation to teaching and scholarship.

### VII A 2 Promotion to Professor

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

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

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 and international reputation in the field.

Each department APT document needs to describe specific criteria about work applicable especially to senior faculty within the department, the college, and university, 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.

### VII A 3 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. While consideration of the quantity of research productivity of Tenure track Faculty at Regional campuses may be appropriately adjusted given the emphasis at Regional campuses on teaching, the quality of research should meet the same criteria as that expected of faculty on the Columbus campus.

Recognizing that the 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 college nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

#### VII A 4 Clinical Faculty

Each department must establish criteria for the promotion of clinical faculty to the ranks of clinical associate professor and clinical professor. The criteria should incorporate the description below.

##### VII A 4 a Promotion to the rank of Associate Professor

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

VII A 4 b. Promotion to Professor. For promotion to the rank of Professor, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to this department and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

#### VII B Procedures

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

##### VII B 1 Candidate Responsibilities

Candidates are responsible for submitting a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist. If external evaluations are required candidates are responsible for reviewing the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see External Evaluations below.)

## VII B 2 Promotion and Tenure Committee Responsibilities

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

- To review the Department document annually and to recommend proposed revisions to the faculty (revisions approved by the department faculty are forwarded to the Associate Dean for Faculty Affairs to insure that the approved revisions are consistent with the College APT document and pertinent OAA documents);
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those on the committee eligible to vote on a request must vote affirmatively for the review to proceed. The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (e.g., student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review. A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful. Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by the department or the college. A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- 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. Included in the draft analysis should be an analysis of how the faculty member's scholarship makes a substantive contribution to the field within which the faculty

member's scholarship is located and the analysis should include discussion of how the faculty member's scholarship and teaching contribute to the key research and teaching areas of foci within the department. 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.

### VII B 3 Eligible Faculty Responsibilities

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

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

### VII B 4 Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by the department or the college
- Late Spring Semester: To solicit external evaluations from a list including names suggested by the Department Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted (within the constraints of OAA policies, departments are encouraged make the dossier available through "electronic" means provided such means are secure).
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- Mid-Autumn Semester: To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation (such letters should follow guidelines provided in the Provost's memorandum of May 23, 2013 – see Appendix C).

- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
  - Of the recommendations by the eligible faculty and department chair of the availability for review of the written evaluations by the eligible faculty and department chair
  - Of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the department chair's independent written evaluation

#### VII B 5 Procedures for Regional Campus Faculty

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

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

#### VII B 6 External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews and all associated faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for faculty members on clinical appointments unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a faculty member on clinical appointments will be made by the department chair after consulting with the candidate and the chair of the eligible faculty.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will only solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as

opposed to perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an evaluator on the merits of the case.

- Since the department cannot control who agrees to write and or the usefulness of the letters received, at least twice as many letters are sought as are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.
- As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule (<http://trustees.osu.edu/rules/university-rules.html>) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor the college requires that the dossier contain letters from evaluators suggested by the candidate.
- The department follows the Office of Academic Affairs suggested format, provided at <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.
- Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.
- All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

#### VII B 7 Procedures for College Committee

The college promotion and tenure committee shall prepare a written report of its assessment and vote for inclusion in the dossier. If the TIU recommendation is judged to be inconsistent with the university, college and TIU standards, criteria, policies and rules, the inconsistencies must be clearly documented in the college-level report, specifically referencing instances where these discrepancies occurred.

Per faculty Rule 3335-6-04, the purposes of the promotion and tenure reviews beyond the TIU shall be:

- a. *To determine whether the TIU has conducted its review and reached a recommendation consistent with university, college and TIU standards, criteria, policies, and rules. A faculty review body or administrator at the college or university level may make a recommendation that is contrary to that of the TIU if, in its judgment, the TIU recommendation is not consistent with those standards, criteria, policies, and rules.*
- b. *To determine where the weight of the evidence lies in cases in which there is not a clear or consistent recommendation from lower levels of review.*
- c. *The dean shall prepare a separate written assessment of the case and recommendation for the provost for inclusion in the dossier.*
- d. *As soon as the college promotion and tenure committee report and the dean's letter have been completed, the candidate should be notified in writing of the completion of the college level review and of the availability of these reports. The candidate may*

*request a copy of these reports. The candidate may provide the dean with written comments on the college review for inclusion in the dossier within ten calendar days of notification of the completion of the review. The college promotion and tenure committee and/or dean may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the college level review is permitted. If a college committee disagrees with a TIU's recommendation, or in cases where there is disagreement between the faculty and the director/chair within a TIU, the college committee shall explain in detail the basis for its recommendation (copies should be provided to the Dean, to the Department chair, and to the members of the TIU's Committee of the Eligible faculty who voted on the case). See faculty rule 3335-6-04 for details. The dean shall forward the dossier, along with all evaluations and reports, to the provost.*

## VII C Documentation

As noted earlier under Candidate Responsibilities (VII B 1), every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

The complete dossier, including the documentation of teaching noted below, is forwarded when the review moves beyond the department. The documentation of scholarship and service noted below is for use during the department review only, unless reviewers at the college and university levels specifically request it. Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication. Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

### VII C 1 Teaching

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

- Cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class
- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program
- 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

### VII C 2 Scholarship

For the time period since the last promotion:

- 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: for example, 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

### VII C 3 Service

For the time period since the last promotion service activities as listed in the core dossier including:

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

### VIII APPEALS

Faculty Rule 3335-6-05 (A) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05.

### IX SEVENTH-YEAR REVIEWS

Faculty Rule 3335-6-05 (B) (<http://trustees.osu.edu/rules/university-rules.html>) sets forth the conditions of and procedures for a seventh year review for a faculty member denied tenure as a result of a sixth year (mandatory tenure ) review.

### X PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

#### X A Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in the college with the exception of independent studies and research apprenticeships. As SEI evaluations are conducted on-line, the instructor should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation. The college encourages the use of multiple means for student evaluation of teaching.

## X B Peer Evaluation of Teaching

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

Each department must establish a procedure for the regular and systematic peer evaluation of teaching to be approved by the Dean. Note: To the extent possible, peer evaluation should involve senior faculty and a peer reviewer should be of equal or higher rank than the faculty member being reviewed.

The procedure for the regular and systematic peer of teaching needs to incorporate the following responsibilities:

- To review the teaching of probationary tenure-track and clinical 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,
- To review the teaching of tenured associate professors and nonprobationary clinical associate professors at least once per year, with the goal of assessing teaching at all the levels of instruction (undergraduate, masters, doctoral) to which the faculty member is assigned over a three year period.
- To review the teaching of tenured professors and nonprobationary clinical professors at least once every four years;
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.
- In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on such issues as the appropriateness of the course design given the goals and level of the course, the quality and effectiveness of the instructional materials and assessment tools, and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer meets with the candidate to give feedback and also submits a written report to the department chair, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the University Center for the Advancement of Teaching ([www.ucat.osu.edu](http://www.ucat.osu.edu)). Reviews conducted upon the request of the department chair or the faculty member focus on the specific aspects of instruction requested by the chair or faculty member.
- The effectiveness of the peer teaching evaluation procedures outlined above would be strengthened if the department develops worksheets for use in evaluating the various

aspects of instruction. The University Center for the Advancement of Teaching ([www.ucat.osu.edu](http://www.ucat.osu.edu)) offers assistance in such endeavors and departments are encouraged to make use of this resource.