

ADDENDUM

APPOINTMENTS, PROMOTION, TENURE CRITERIA AND PROCEDURES

FOR THE DEPARTMENT OF HUMAN AND COMMUNITY RESOURCE DEVELOPMENT

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I. PREAMBLE

This document is a supplement to Chapter 6 of the *Rules of the University Faculty* [Additional Rules Concerning Faculty Appointments, Reappointments, Promotion and Tenure], the Office of Academic Affairs procedural guidelines for promotion and tenure reviews, and any additional policies established by the College and the University. Should those rules and policies change, the Department shall follow the new College and/or University rules and policies until such time that this document is modified to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years upon appointment or re-appointment of the Department Chair.

This document must be approved by the Dean of the College and the Provost of the University before it can be implemented. It sets forth the Department's mission and, in the context of the missions of the College and University, criteria and procedures for faculty appointments, and criteria and procedures for faculty promotion, tenure, and faculty rewards (including salary increases). In approving this document the Dean and Provost accept the stated mission and criteria and delegate to the Department the responsibility to apply high standards in evaluating faculty performance and candidates for initial appointment or promotion in relation to its mission and criteria.

The Department is bound by the principles articulated in Faculty Rule 3335-6-01 (A) (B) (<http://trustees.osu.edu/rules6/ru6-01.html>), [General considerations], pertaining to appointment, promotion, and tenure. This rule reinforces the value, importance, and responsibility of peer faculty review in the appointment, promotion, and tenure process. The document specifies procedures to be followed if the recommendation of the Chair differs from that of the peer faculty and requires concurrence with University "equal opportunity" guidelines.

Performance appraisals are used to make decisions concerning salary increases, promotion, and the granting of tenure. Salary increments and promotion decisions depend on the quality of professional accomplishments as well as on the level of overall productivity. Tenure decisions are based on demonstrated performance, but potential contributions may also be considered. Merit, rather than years of service, is the basic standard for all decisions regarding salary, promotion, and tenure.

Each faculty member in HCRD has a dual responsibility: to generate knowledge and to disseminate knowledge (i.e., to research and to teach). Regardless of the

terms of the appointment, faculty are expected to develop both an excellent teaching program (addressing students on the OSU campus and/or outreach audiences) and a high quality research program. Complementing these two basic expectations is a third responsibility: to provide professional service to the University community, to professional organizations, and to public and private entities beyond the university. Just as teaching and research programs evolve over time, the service expectations of a faculty member may likewise change over a time. Nevertheless, service responsibilities begin the day a faculty member joins the Department.

Since it is recognized that performance in teaching, research, and service are difficult to assess, a variety of evaluation criteria are employed. The Department of Human and Community Resource Development has found, as have other OSU departments, that some guidelines are more accurate indicators of performance than others. Teaching performance may be judged on the basis of soundly conducted student surveys, peer evaluations, and administrator evaluations. The primary indicators of a successful research program are scholarly publications (especially peer reviewed manuscripts), methodological development, solutions to critical issues, and recognition of excellence by peers. Quality of service is judged primarily by peers and those served.

II. DEPARTMENT MISSION

Department mission statement

The mission of the Department of Human and Community Resource Development is to serve Ohio, the nation, and the world by generating, teaching, and applying social and behavioral science knowledge in the context of the food, agricultural, and environmental sciences.

Audiences

The Department's primary audience is our students: those who enroll in our courses, who avail themselves to departmental Extension education programs, and those who utilize our education and research. Academic professionals within our Department, associated professionals, and faculty in other colleges and departments constitute a second clientele group. A third clientele group consists of business, community, educational, and political leaders concerned about the economic and social welfare of individuals and communities.

Faculty effort

Excellence in teaching, research, and service roles guide faculty efforts in the Department, with higher but equal, emphasis on teaching and research, relative to service. High quality instruction for undergraduate, graduate, and outreach audiences begins with an understanding of the basic principles of communication, education, psychology, and sociology. The process continues with an improving ability to apply and integrate these principles in real-world, problem solving situations. Creation and dissemination of new information is vital to the improvement of our teaching, of human and community resource decision-making, and the problem-solving ability of our students as well as public and private decision-makers.

III. APPOINTMENTS

(See Faculty Rule 3335-6 <http://trustees.osu.edu/rules6/ru6index.html>)

Criteria: Tenure track faculty

This section establishes criteria for appointment at the rank of Assistant Professor in the Department. Criteria for appointment to higher ranks are specified in the criteria for promotion to those ranks discussed later in this document (See Section VI: REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION)

The Department is bound by principles articulated in Faculty Rule 3335-6-02 (a) <http://trustees.osu.edu/rules6/ru6-02.html>, [Criteria for appointment, reappointment, and promotion and tenure of tenure-track faculty].

Consistent with this rule, the minimum requirement for appointment at the Assistant Professor or higher rank in the Department is an earned doctorate or other terminal degree in a relevant field of study (e.g., agricultural communication, agricultural education, extension education, human and community development, and rural sociology) or possession of equivalent experience. Appointment at the Instructor level will only be considered when the offered appointment is for an Assistant Professor, but the appointee has not completed the terminal degree at the onset of the appointment.

The Department is bound by principles articulated in Faculty Rule 3335-6-03 (A) and (B) <http://trustees.osu.edu/rules6/ru6-03.html> [Probationary service, and duration of appointments for tenure-track faculty].

In the Department, appointment as Professor or Associate Professor will normally be with tenure. However, a probationary period not to exceed four years may be part of the appointment, as approved by the Office of Academic Affairs. Appointment to Assistant Professor is always probationary and may not exceed six years, including formal prior service credit. An Assistant Professor will be reviewed for promotion and tenure within the six year probationary period and informed by the end of the evaluation year whether or not promotion with tenure is granted at the beginning of the next academic year (no later than the seventh year).

Appointment to the rank of Instructor is always probationary and may not exceed three years. Instructors must be approved for promotion to Assistant Professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year.

Criteria: Auxiliary faculty

Two types of auxiliary positions are available for persons interested in associating with the Department in a non-tenure track arrangement, compensated and no-salary. No-Salary Adjunct and Visiting Faculty appointments may be at the Assistant, Associate, or Professor rank. Criteria for appointment will be the same as for appointment to regular tenure-track faculty and will serve as the basis for evaluation for promotion, in the event it is desired.

Compensated auxiliary faculty include Lecturers, Senior Lecturers, faculty with regular titles below 50 percent, and Visiting faculty. Visiting faculty appointments may not exceed three continuous years.

Criteria: Courtesy appointments

Courtesy (No-Salary) appointments in the Department are reserved for regular faculty from other tenure initiating units at The Ohio State University. Faculty granted courtesy appointment are expected to participate in the Department's teaching, research, and/or service program(s). This appointment will be reviewed every three years and continued only if it is determined that the appointee has documented a contribution to the mission of the Department.

Procedures: Tenure-track faculty

Recommendations regarding regular, tenure track faculty appointments or requests for new regular faculty positions are made jointly by the Chair and faculty. The Chair and faculty formulate the responsibilities of the position and the qualifications of candidates. The Chair requests the Dean to authorize that the position be filled. Upon receiving permission from the College to search for a person to fill a tenure-track position, the Department Chair will appoint (in consultation with the faculty) a search committee for the position. The committee will follow all College and University policies related to the search and screening process. The committee will solicit and receive nominations from faculty and other interested parties or organizations.

A national/international search is required for all regular, tenure-track faculty positions unless the Office of Academic Affairs approves an exception requested by the College. Faculty will be provided with an opportunity to provide input to the search committee. The search committee will solicit and review applications and present a list of candidates recommended to the Department Chair to invite for formal interviews.

During interviews, candidates shall meet with the faculty, undergraduate and graduate students, the Department Chair, and the Dean of the College of Food, Agricultural, and Environmental Sciences, and the Directors of Extension, Research, and Academic Affairs as deemed appropriate by the search committee. Teaching and research presentations will be scheduled according to the position expectations.

Following each individual candidate's interview, the search committee will solicit feedback on the perceived strengths and limitations of the candidate from faculty, staff, students, and other interested stakeholders. After all candidates have completed the interview process, the search committee will collect a ballot regarding the acceptability of each candidate from Regular Faculty whose TIU is in HCRD. Thereafter, the search committee will forward a recommendation for each candidate interviewed to the HCRD Department Chair. The Chair will in turn make a recommendation to the Dean. The Department Chair will extend a letter of formal offer to the selected candidate when authorized by the Dean.

Appointment offers at the rank of Associate Professor or Professor, with or without tenure require prior approval of the Office of Academic Affairs. Tenure can be granted only to U.S. citizens or permanent residents. All faculty

appointments to non-U.S. citizens will be made only after consultation with the Office of International Education. Prior service credit to Instructors promoted to the rank of Assistant Professor will be granted for time spent as an instructor unless the faculty member indicates in writing at the time of promotion that he or she does not wish such credit. (3335-6-03 (c) -1). Prior service credit for years spent as an Assistant Professor outside of OSU is discouraged.

Procedures: Auxiliary faculty

Appointment of No-Salary Adjunct and Visiting faculty in the Department require the Chair to consult with appropriate faculty and administrators before bringing a recommendation to the faculty for approval. The Chair or designated faculty will prepare and present the case for consideration by the faculty. No-Salary Adjunct and Visiting Faculty appointments must be reviewed and approved by a majority vote of the faculty on an annual basis.

Auxiliary faculty appointments that involve financial compensation require prior approval of College administrators. It is not appropriate for the Department to extend an offer before receiving that approval.

IV. ANNUAL REVIEWS

Procedures: Probationary tenure track faculty

The Department is bound by Faculty Rule 3335-6-03 (C) <http://trustees.osu.edu/rules6/ru6-03.html>, [Probationary service, duration of appointments for regular faculty], as well as by Office of Academic Affairs policies described in the *Policies and Procedures Handbook* (<http://oaa.osu.edu/handbook/tc.html>). Probationary faculty will be reviewed annually, as per Departmental, College, and University policy.

At the time of appointment and at any subsequent time that policies and procedures are changed, probationary faculty will be provided with all Department, College and University documents pertinent to promotion and tenure criteria and procedures.

Each faculty member will provide the Department Chair with an updated curriculum vita (CV) and a written report of accomplishments for the calendar year preceding the annual review along with an indication of future goals and plans. Probationary tenure track faculty must use the OAA dossier outline as

part of their annual report in addition to the Unified Reporting System (URS) report.

During the probationary period, tenure track faculty performance (including teaching, research, and service) will be reviewed annually during the Spring Quarter by the HCRD Promotion and Tenure Coordinating Committee. External evaluation letters are not required for the annual performance review of probationary, tenure track faculty. Members of the HCRD Promotion and Tenure Coordinating Committee will be provided with a copy of the probationary faculty member's position description, curriculum vita, and Office of Academic Affairs (OAA) dossier completed by the faculty member in reporting accomplishments to date. The HCRD Promotion and Tenure Coordinating Committee will summarize their assessment of the faculty member's performance in a letter to the HCRD Department Chair and the faculty member, indicating strengths and weaknesses, as appropriate.

The HCRD Department Chair will annually review the performance of probationary, tenure track faculty based on the faculty member's position description, curriculum vita, and OAA dossier. At the completion of the review the HCRD Department Chair shall provide the faculty member and the Dean with a written assessment of the faculty member's performance and professional development, including both strengths and weaknesses, as appropriate. If the Chair's recommendation is to reappoint the faculty member to another year of probationary service, that recommendation shall be final. A recommendation from the Chair to not reappoint the faculty member to another year of probationary service requires a review that follows the fourth year review procedures described below, and the Dean shall make the final decision regarding reappointment to another year of probationary service. All annual review letters to date shall become part of each faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure.

The Department Chair will meet annually with each faculty member to discuss the faculty member's performance, future goals, and plans. The position description for each faculty member should also be reviewed on an annual basis. Following the performance review conference, the Department Chair will provide written feedback to each regular faculty member regarding their past and current performance, and future expectations. This feedback should precede the notification of any raise in salary, if possible.

Criteria for salary recommendations are clearly stated in the Section V of this document and such recommendations are based on these criteria.

The Department Chair will provide the faculty member a written assessment of the faculty member's performance and professional development, and a recommendation on reappointment. The annual performance review letter will include a reminder that the faculty member may review her/his Departmental personnel file and, as per Faculty Rule 3335-3-35 (C) (8) http://oaa.osu.edu/handbook/x_annreview.html, may place in that file a response to any evaluation, comment, or other material contained in the file. Faculty are not allowed to remove any materials from their Departmental personnel file.

The fourth-year review shall employ the same procedures as those for tenure and promotion review in the Department, except that external letters will not be required. Review by the College Promotion and Tenure Committee will not be required if the Department and Dean approve reappointment. The Dean makes the final decision on reappointment for the fifth year. Recommendation of nonrenewal during any year of the probationary appointment will result in the implementation of the fourth-year review procedures (Faculty Rule 3335-6-03(C)(2) <http://trustees.osu.edu/rules6/ru6-03.html>).

If it is clear that the candidate's likelihood of meeting Departmental expectations for promotion and tenure is poor, the Department will recommend against renewing the probationary appointment.

The Department is bound by Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu/rules6/ru6-03.html>) that provides for time to be excluded (i.e., stopping the tenure clock) from the probationary period.

During the annual review process, the Department may consider recommending an application for an exclusion. However, the Department does not have authority to require a faculty member to apply for excluded time.

An untenured regular faculty member may request a maximum one year exclusion from the probationary period for the birth or adoption (under age 6) of a child. Requests must be submitted to the Chair of the Department within one year of the birth or adoption.

Other reasons for requesting excluded time (in one year increments) include personal illness, care of an ill or injured dependent, unpaid leave of absence, or

factors beyond the control of the faculty member that seriously impeded productivity. Requests made to the Department Chair prior to the beginning of the year of mandatory review for tenure will be reviewed by the Department Promotion and Tenure Committee. The committee will forward a recommendation to the Chair regarding the appropriateness of the request.

Requests for time exclusion will not be granted after a non-renewal notice has been issued. Previously approved requests for time exclusion will not limit the Department's right to recommend against renewing a probationary contract.

The maximum amount of time excluded from the probationary period is one year for Instructor, two for Assistant Professor, one for Associate Professor.

Faculty will be reviewed annually during their probationary period unless an approved faculty leave has been granted which renders the review impractical.

The length of the probationary period is six years of employment at The Ohio State University less any years of service excluded in the original letter of offer.

Procedures: Tenured faculty

The Departmental annual performance review process is bound by the Office of Academic Affairs policies described in the *Office of Academic Affairs Policy and Procedures Handbook* <http://oaa.ohio-state.edu/handbook/tc.html>. Every faculty member will have an annual performance review conducted by the Chair of the Department.

Each faculty member will provide the Department Chair with an updated curriculum vita (CV) and a written report of accomplishments for the calendar year preceding the annual review along with an indication of future goals and plans.

The Department Chair will meet annually with each faculty member to discuss the faculty member's performance, future goals, and plans. The position description for each faculty member should also be reviewed on an annual basis. Following the performance review conference, the Department Chair will provide written feedback to each regular faculty member regarding their past and current performance, and future expectations. This feedback should precede the notification of any raise in salary, if possible.

Criteria for salary recommendations are clearly stated in the Section V of this document and such recommendations are based on these criteria.

The annual performance review letter will include a reminder that the faculty member may review her/his Departmental personnel file and, as per Faculty Rules 3335-3-35(C)(8) <http://trustees.osu.edu/rules3/ru3-35.html>, may place in that file a response to any evaluation, comment, or other material contained in the file. Faculty are not allowed to remove any materials from their Departmental personnel file.

V. MERIT SALARY INCREASES AND OTHER REWARDS

Criteria

Salary adjustments and other performance-based rewards will be based entirely on merit, except when the College or University mandates an “across the board” or “minimum” flat or percentage salary adjustment.

Scholarly performance in teaching, research, and service will be judged according to the Department’s mission and the established criteria for promotion and tenure, with consideration of a faculty member’s specific position description. Performance reviews will emphasize the previous year’s performance. However, the Chair may also consider prior years’ performance and/or the appropriateness of the salary level to the individual’s overall record of accomplishments in making salary adjustment recommendations for faculty.

The Department Chair, should base a faculty member’s performance review, and therefore any potential salary adjustment, on specific goals and expectations agreed upon at the beginning of the review period.

All faculty are expected to be collegial members of the Department and to contribute to the teaching/advising, research/scholarship, extension/outreach, and service missions of the Department, College, and University. Faculty are expected to maintain an equitable workload with respect to teaching/advising, research/scholarship, extension/outreach, and service activities and to participate in the academic life of the Department through attendance at and participation in Department faculty meetings, seminars, student organizations, and other activities. Faculty members are expected to exhibit civility, respect, and responsible behavior toward peers, staff, and students. Each faculty member is

free to express their views and opinions in a respectful and conscientious manner so as not to disrupt the functioning of the Department.

If the Chair determines that a faculty member has made little, no, or a negative contribution to the Department mission, damaged the welfare of the Department, has not made satisfactory progress toward agreed upon goals, or has submitted insufficient documentation to permit a well-informed evaluation of performance, the Chair may recommend a zero salary adjustment.

Procedures

Annual reports are required from each faculty member and will be reviewed by the Department Chair. The Chair will examine the reports in terms of degree of excellence in performance in fulfilling the responsibilities outlined in their position description, as described above and in the Promotion & Tenure and Promotion Reviews (Section VI.) of this document.

Documentation

The primary evidence for determining salary adjustment recommendations will be the annual report provided by each faculty member on a date specified by the Chair. The annual report will document a faculty member's performance (in quantitative and qualitative) areas of teaching/advising (resident instruction and/or extension/outreach), research/scholarship, and service, with regard to the contribution to the Departmental mission.

VI. PROMOTION & TENURE AND PROMOTION REVIEWS

Recommendations for promotion in rank and/or the awarding of tenure will be based on the performance of the individual faculty member. Individuals will be judged on the basis of their position description and agreed upon expectations in the areas of teaching/advising (including formal and non-formal instruction, and student advisement), research/scholarship, and service to the Department, the College, and the University and the profession. The relative emphasis to be placed on a faculty member's performance and accomplishments will be in accordance with the teaching, research, and service responsibilities agreed to with each faculty member during the annual performance review conference with the Department Chair.

Criteria: Promotion to rank of Associate Professor with tenure

The Department is bound by Faculty Rule 3335-6-02 (C) (<http://trustees.osu.edu/rules6/ru6-02.html>) in the awarding of tenure and promotion to the rank of Associate Professor.

The same Faculty Rule 3335-6-02 (B) (<http://trustees.osu.edu/rules6/ru6-02.html>) states that tenure will not be awarded below the rank of Associate Professor.

Tenure and promotion are based on faculty performance in teaching (including outreach), scholarship, and service. The awarding of tenure and promotion to the rank of Associate Professor must be based on documented evidence that the faculty member has achieved and can be expected to continue a professional program of excellence. Excellence in teaching is documented by effective performance in teaching, advising, and/or outreach education; in scholarship by high quality and quantity of research; and in service by work done or duties performed for others, relevant to the mission of the Department, College, and University.

Criteria: Promotion to rank of Professor

The Department is bound by Faculty Rule 3335-6-02 (C) (<http://trustees.osu.edu/rules6/ru6-02.html>) regarding promotion to the rank of Professor.

Promotion to the rank of Professor will be based on convincing evidence that the faculty member has achieved and can be expected to maintain a sustained record of excellence. Excellence in teaching is documented by excellent performance in instruction, in scholarship by a significant body of research that is recognized nationally or internationally, and in service by demonstrated leadership in work done or duties performed for others, relevant to the mission of the Department, College, and University.

Procedures

The Departmental procedure for promotion and tenure review is consistent with Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules6/ru6-04.html>).

The Promotion and Tenure Committee consists of all Regular Faculty whose Tenure Initiating Unit (TIU) is in HCRD and hold faculty rank higher than that of

the candidate being reviewed. The Department Chair will appoint three faculty members each year to the Promotion and Tenure Coordinating Committee. The Department Chair is not a voting member of either committee.

A Procedures Oversight Designee will be identified for the Department each year by the Department Chair. The Designee will assure that the Departmental review follows the written procedures governing the review, that procedures are carried out in a highly professional manner, and that the proceedings are free of inappropriate comments and assumptions that could bias the review.

Documentation

The Department Chair will maintain a file of the most current University, College, and Department policies pertaining to promotion and tenure, and the criteria upon which recommendations are based. The policies will be distributed annually to all faculty members by the Chair.

Upon appointment as a faculty member, the Department Chair will provide the new faculty member with University, College, and Department policies and procedures pertaining to promotion and tenure and the criteria used in formulating promotion and tenure recommendations.

Each year the Department Chair will provide written notification to all faculty members of the dates that dossiers for promotion and tenure recommendations are to be submitted.

Non-tenured, regular faculty whose tenuring unit is the Department of Human and Community Resource Development shall have an annual review of their performance and accomplishments conducted by the Department Chair. Each faculty member will prepare an annual report that documents performance and accomplishments for the previous calendar year. An unsatisfactory annual review of a non-tenured faculty member can result in non-renewal in any year. A recommendation or decision for non-renewal in years other than the fourth (for probationary Assistant Professors) must follow the same procedures as fourth year reviews.

The identification of faculty members eligible to be considered for promotion is a joint responsibility of the HCRD Promotion and Tenure Coordinating Committee and the faculty member. The Chair may request that a faculty member submit their credentials, individual faculty members may request that they be

considered for promotion, or any faculty member may nominate a candidate for promotion to the HCRD Promotion and Tenure Coordinating Committee. For Assistant Professors, consideration for promotion and tenure is mandatory in the sixth year. Tenure for Assistant Professors will only be considered in conjunction with promotion to Associate Professor.

The HCRD Promotion and Tenure Coordinating Committee may decline to put forth a faculty member for formal, nonmandatory promotion and tenure review if the candidate's accomplishments are judged not to warrant such review (see Faculty Rule 3335-6-04 (A)(3) <http://trustees.osu.edu/rules6/ru6-04.html>). The Promotion and Tenure Coordinating Committee may not deny a tenured faculty member a formal review for promotion more than three consecutive years.

The Department Chair will establish a time line for submission of documentation to insure that the review process will be completed prior to the date established by the University and College for submitting recommendations to the Dean.

The dossier

Individual faculty members being reviewed for tenure candidacy and/or for promotion in rank are responsible for preparing and submitting the dossier to the Department Chair. The dossier is to include: (a) a description of the specific duties and responsibilities of the faculty member during the period of time on which the recommendation is based, and (b) a description of accomplishments in concurrence with the faculty member's job performance in the areas of teaching, research, outreach, and service and will conform to the format outlined the "Additional Rules of the University Faculty Concerning Faculty Appointments, Reappointments, Promotion, and Tenure" (Chapter 3335-6, <http://trustees.osu.edu/rules6/ru6index.html>).

The Department Chair will solicit a minimum of five outside letters of evaluation for each candidate. Letters will be solicited from distinguished persons in the candidate's field whose rank is above that of the candidate, who are in peer universities, and who do not have a close personal or working relationship with the candidate that might create the perception that their evaluation would not be objective. External evaluators will be asked to comment on the faculty member's scholarly work and its significance within its respective discipline. Candidates are not to initiate or accept contact with any external evaluators. The Department Chair, in consultation with eligible faculty, will generate a list of potential evaluators. The faculty member under review will review the list and

be allowed to expand the list with names of individuals who meet the criteria for objective evaluators. The Department Chair will ensure that no more than one-half of the letters in the final dossier will be from persons suggested by the candidate. All solicited letters will be included in the dossier. Unsolicited letters will not be included in the dossier. At least four months before completed evaluations are needed, the Department Chair will send letters asking persons if they are willing to submit an external evaluation letter.

The review process

The candidate's documentation pertaining to promotion and/or tenure review will be transmitted to the eligible faculty by the Department Chair. The Department Chair will make copies of each candidate's dossier available for review by eligible voting members of the HCRD Promotion and Tenure Committee at least two weeks before the meeting at which the candidate's case will be reviewed. Faculty members with a familial or comparable relationship with a candidate will not participate in the review of that candidate. If, in the opinion of the Promotion and Tenure Coordinating Committee and with the Department Chair's concurrence, a potential conflict of interest exists for a faculty reviewer, that reviewer will not participate in the review of that candidate.

All eligible faculty will be independently asked to evaluate each candidate's qualifications and prepare comments for discussion with the Promotion and Tenure Committee. The Department Chair will attend the HCRD Promotion & Tenure meeting for the purpose of listening to the strengths and weaknesses cited. However, the Department Chair is not allowed to provide input beyond responding to a direct question to provide clarification or to correct any misinformation or misinterpretation that may arise during the faculty discussion. The Department Chair is not allowed to vote at this stage of the review process.

Following discussion, a secret, mailed ballot will be distributed to all eligible voters for each candidate. Ballots will be collected and counted seven days after the Department Promotion & Tenure Committee Meeting by the Promotion and Tenure Coordinating Committee in the presence of the Department Chair. In order for the vote to be valid, at least two-thirds of all faculty eligible to vote must vote yes or no. Abstentions are not counted as votes. In order for the recommendation to be considered positive, two-thirds of the votes cast must be yes votes. The Promotion and Tenure Coordinating Committee will then draft a letter to the Department Chair. The letter will include a detailed analysis of each case (including perceived strengths and weaknesses in the areas of teaching,

research, and service) based on the criteria listed in this document and record the vote of the Promotion and Tenure Committee. The letter must state explicitly whether or not the candidate is recommended for Promotion and Tenure by the departmental faculty. The letter will be signed by the three members of the HCRD Promotion and Tenure Coordinating Committee.

The Department Chair will prepare an independent assessment and recommendation for inclusion in the candidate's dossier that takes into account the recommendation of the department faculty. The Department Chair will outline in the letter the criteria and expectations against which the faculty member was assessed and will verify the candidate's list of publications. All cases will be forwarded to the Dean.

Only the candidate may stop the promotion and tenure review process, once external letters of evaluation have been requested. The candidate may withdraw from review at any stage of the process by so informing the Department Chair in writing. If the review process has moved beyond the Department, the Chair shall inform the Dean of the candidate's withdrawal.

Feedback

As soon as the HCRD Promotion and Tenure Coordinating Committee letter (on behalf of the faculty) and the Department Chair's letter are completed, the candidate will be notified in writing by the Chair of the completion of the Departmental review and informed of the recommendation and their right to review and comment on the letters within ten days.

The candidate may provide the Department Chair with written comments on the Departmental review for inclusion in the dossier within 10 calendar days following the written notification of the completion of the departmental review process.

The Department Chair and eligible voting members of the HCRD Promotion and Tenure Committee may provide written responses to the candidate's response for inclusion in the dossier. Only one iteration or response to the Departmental level review will be permitted.

The Department Chair will forward the dossier with all internal and external evaluations, candidate's comments on the Departmental review, and eligible

faculty and/or Chair responses to those comments, if any, to the Dean of the College.

The Dean will inform the candidate in writing of the opportunity to comment on the recommendation reached at the college level. Except in the case of fourth year reviews (and other probationary reviews following fourth year review procedures) in which the Dean makes the final decision, the review then proceeds to the University level where the Provost makes a final decision. The Department Chair is responsible for communicating the final results of a completed review process to faculty members. When that decision is negative, the Chair shall also communicate the reasons for the negative decision.

Promotion and Tenure Criteria: Excellence in teaching

Teaching includes classroom and laboratory instruction, extension and outreach teaching, supervision of independent study, thesis, non-thesis, and dissertation research, honors projects, clinical experience, and supervision of internships, early field experiences, student teachers, beginning teachers and Extension personnel, experienced teachers and Extension personnel, and student advising.

Characteristics of quality teaching include, but are not limited to the following:

- Knowledge and command of subject matter.
- Systematic planning of instruction; formulation of objectives indicating outcomes sought; and organization of content documented in a detailed course syllabus.
- Selection and use of appropriate teaching-learning strategies and instructional media, including the incorporation of new technologies.
- Involvement of students in critical thinking learning activities; stimulation of students for individual study and creative work.
- Selection and use of evaluation procedures that provide timely and appropriate feedback to enable students to identify weaknesses and strengths; provisions for individualized instruction and other procedures that allow students to achieve.
- Involvement and effectiveness in guiding, mentoring, and counseling students.
- Continual updating of course notes, syllabi, instructional materials; innovation in teaching strategies.
- Contributions to curriculum development, including collaborative courses and programs.

- Continuing professional development of the faculty member related to teaching and advising.
- Teaching and advising load that is appropriate to the faculty member's position description.
- Involvement in interdisciplinary teaching activities.
- Availability to students beyond regular class meeting times.

Evidence to document teaching and advising quality and effectiveness

- Written reviews of teaching performance, learner activities, and instructional materials by the Department Chair, peers, and current/former students and clients.
- Formal evaluations of teaching by the Department Chair, peers, and current/former students and clients.
- Involvement in graduate exams, theses, and dissertations and honors and non-thesis projects.
- Involvement in student groups and organizations and student affairs programs and task forces.
- Publications and presentations pertaining to teaching and advising.
- Recognition and awards for teaching and advising.
- Participation in professional development activities to enhance performance as a teacher and advisor.
- Complete and detailed course syllabus.

Faculty members are expected to document teaching performance using the following procedures:

The Student Evaluation of Instruction (SEI) will be used by all faculty members to assess teaching performance in each course every time it is taught, exclusive of independent study and research hours. The Extension Evaluation of Effective Teaching (EEET) will be used to assess teaching performance in seminars, workshops, and other non-formal instructional settings. Summary data from these evaluations will be submitted as part of the annual report to the Department Chair for review during the faculty performance appraisal conference.

The teaching assessment form will be distributed during the last class session or at the end of the program.

The faculty member will designate a class member to distribute and collect the assessment form. The designated class member will mail or hand deliver completed forms in a sealed envelope to the Department office or the University Registrar for analysis.

The faculty member will not be present in the room when the assessment forms are completed and collected.

Written comments can be solicited. These comments should be collected by the designated class member. This person will mail or hand deliver the comments in a sealed envelope to the faculty member's secretary for transcription after the course grades are posted.

Periodic peer review of teaching is required for both probationary and tenured faculty (at all ranks). The purpose of the peer review is to promote, encourage, and support faculty members to continuously improve their teaching. The peer review process should focus on those aspects of teaching that students cannot validly assess. Peer reviews should examine the appropriateness of curriculum choices, instructional goals, course syllabi, teaching methods, assessment strategies, and consistency with disciplinary standards. The peer review process should include an observation of classroom teaching performance and a review of course materials.

Probationary faculty will be peer reviewed at least annually. Tenured faculty (at all ranks) should be peer reviewed at least once every four years. The procedures to be employed for a Peer Review of Teaching will be developed by the departmental Professional Development and Recognition Committee.

Peer review of teaching (see: http://oaa.osu.edu/handbook/iv_instruction.html) will be conducted using the following procedures:

Teaching performance will be reviewed by a team of two faculty. One of the reviewers may be external to the department. Teaching performance will be peer reviewed for both credit courses and non-formal instructional settings.

Peer reviewers will be selected by the Department Chair in consultation with the faculty member being peer reviewed. Prior to the review, the peer reviewers will examine the course syllabus or teaching plan and

summaries of prior teaching evaluations. The peer review will focus on the promotion and tenure criteria for excellence in teaching as outlined above.

Excellence in Research

Research and scholarship activities include discovering new knowledge, developing new technologies, methods, and materials, integrating knowledge leading to new understandings, creating new insights and interpretations, advancing theory in a programmatic manner, providing practical and innovative solutions to important problems, and/or improving practices in the discipline. Research activities must be validated by peers and communicated to the profession.

Characteristics of quality research

- Addresses an issue of significant concern, is worthy of sustained effort, and relates to the mission of the Department.
- Draws upon the faculty member's disciplinary or professional expertise and displays significant intellectual contributions.
- Subjected to rigorous review by peers.
- Builds upon a research base and theoretical foundation.
- Represents potentially new interpretations and applications of knowledge for use in specific settings.
- Outlines a clear and realistic strategy to achieve the desired outcomes.
- Generates new research questions or makes more understandable the current body of knowledge.
- Provides evidence of an integrated body of work.
- Involves the dissemination of results to appropriate audiences.
- Has implications for policy or practices at various levels.

Evidence to document the quality and significance of research activities (peer review is a universal expectation)

- Publication of books, journal articles, research papers, presentations, monographs, edited books, chapters in edited books, technical bulletins or reports, reviews and abstracts, refereed papers at professional meetings, editor reviewed journal articles, magazine articles, newsletters, field manuals, handbooks, instructional guides, multi-media programs, videos,

Web sites, and computer software. Author contributions (in percentage terms) should be designated for each publication.

- Acceptance rates and disciplinary rankings of peer or editor reviewed journals.
- Involvement in funded research and/or training grants, including the number of grants funded and/or submitted, source of funds, and nature of intellectual contribution.
- Amount of external funding acquired in support of departmental programs.
- Success in directing thesis and dissertation research and non-thesis and honors projects.
- Recognition and awards for research and other scholarly work.
- Continuing professional development of the faculty member related to research and scholarship.
- Maintenance of a focused research program appropriate for the faculty member's position description.

Excellence in service

Service is broadly defined to include administrative service to the Department, College, and University, professional service to the faculty member's discipline, and the engagement of faculty with public and private entities beyond the university.

Characteristics of quality service

- Contributes to the local, state, national, and international intellectual communities and professional disciplines of the Department, College, and University.
- Contributes and relates to the missions of the Department, College, and University.
- Strengthens local communities and addresses issues relevant to Ohio citizens.

Evidence to document quality service

- Recognition and awards for service activities.
- Record of Participation in a variety of service and activities at the Department, College, and University levels and professional disciplines.

- Sustained involvement and leadership in service activities throughout one's academic career.

VII. APPEALS

The Department is bound by Faculty Rule 3335-6-05 (A) <http://trustees.osu.edu/rules6/ru6-05.html>, [Criteria and procedures for appeals of negative promotion and tenure decisions and appointment nonrenewals and for seventh year reviews], a specification of general criteria for appeals of negative promotion and tenure decisions, and by Faculty Rule 3335-5-05(A)(1) <http://trustees.osu.edu/rules5/ru5-05.html>, regarding appeals alleging improper evaluation.

VIII. SEVENTH YEAR REVIEW

The Department is bound by Faculty Rule 3335-6-05 (B) (<http://trustees.osu.edu/rules6/ru6-05.html>) that specifies conditions of and procedures for a seventh year review for a faculty member denied tenure as a result of a sixth year review.

A petition to conduct a seventh year review originates with the faculty of the department who provide a recommendation to the Chair. The Chair provides an independent recommendation which, if positive, is forwarded to the Dean. If the Dean concurs, the petition is forwarded to the Provost who must approve the petition for that review to take place. If either the Chair or the Dean denies the petition, that is the end of the matter.

The petition must document substantial new information regarding the candidate's performance germane to the reasons for the original negative decision. The petition must be initiated before the beginning of the last year of employment.

A faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by the Department, or appeal a negative decision following a seventh year review.