

## Appointments, Promotion, and Tenure Criteria and Procedures

Addendum to the Pattern of Administration

Department of Plant Pathology

College of Food, Agricultural and Environmental Sciences

The Ohio State University

Approved by the Department

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## I. Preamble

This document is a supplement to the Pattern of Administration (POA) of the Department of Plant Pathology (“the Department”), the Rules of the University Faculty, the annually updated procedural guidelines for promotion and tenure reviews of the Office of Academic Affairs (OAA) Policy and Procedures Handbook, and other policies and procedures of the College of Food, Agricultural and Environmental Sciences (CFAES or “the College”) and The Ohio State University (OSU) to which the Department and its faculty are subject. Should those rules and policies change, the Department will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the Department Chair (“the Chair”). This document is subject to approval by the Dean of CFAES (the “Dean”).

This document sets forth the Department's mission and, in the context of that mission and the missions of the College and University, its criteria and procedures for faculty appointments and for faculty promotion, tenure, and rewards, including salary increases. In approving this document, the Dean of CFAES and the OAA accept the mission and criteria of the Department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

The faculty and the administration are bound by the principles articulated in the Rules of the University Faculty. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes, to exercise the standards established in the Rules and other standards specific to this Department and College, and to make recommendations when these are warranted in order to maintain and improve the quality of the faculty. Decisions concerning appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the University’s policy on equal opportunity.

## II. Department Mission and Vision

The Department of Plant Pathology was established in 1967 as a unit of the College of Agriculture (now the College of Food, Agricultural and Environmental Sciences), at The Ohio State University.

### A. Mission

We are dedicated to enhancing food security, global sustainability, and human welfare through environmentally and economically sound strategies for plant health management. To this end:

- We conduct fundamental and mission-oriented research on pathogenic and beneficial microbes, and their interactions with plants and the environment, to broaden our understanding of plant disease, at biological scales ranging from the molecular to the epidemiological.
- We educate students, professionals and the general public about the science of plant pathology and innovations in plant health management.

## B. Vision

Our vision is to lead globally in research, education, and the delivery of unbiased science-based information on plant diseases, host-microbe interactions and plant health management.

## III. Definitions

### A. Committee of the Eligible Faculty.

Decisions on recommendations for appointment, promotion, and tenure are made by the committee of Eligible Faculty. The following faculty appointments may serve on this committee.

1. **Tenure-track faculty** are faculty members with tenure or in a tenure-track position whose appointments may focus on teaching, extension, research, graduate advising, and service to the Department, College, University, and professional societies.

The eligible faculty for appointment 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 Chair, the Dean and assistant and associate deans of the College, the Executive Vice President and Provost, and the President).

2. **Professional practice (clinical) faculty** are those without tenure whose appointments focus primarily on teaching, undergraduate and graduate student engagement, and service. The eligible faculty for appointment reviews of professional practice faculty will consist of all tenure-track and all professional practice faculty whose primary appointment is in the Department.

The eligible faculty for reappointment, contract renewal, and promotion of professional practice faculty will consist of all tenured faculty of higher rank than the candidate whose primary appointment is in the Department and all nonprobationary professional practice faculty whose primary appointment is in the department (excluding the Chair, the Dean and assistant and associate deans of the College, the Executive Vice President and Provost, and the President).

3. **Research faculty** are faculty without tenure whose appointment focus primarily on research, graduate student advising, and service.

The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty whose tenure resides in the Department, all professional practice faculty whose primary appointment is in the department, and all research faculty whose primary appointment is in the department. The eligible faculty for reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the Department, all nonprobationary professional practice faculty of higher rank than the candidate whose primary appointment is in the department, and all nonprobationary research faculty whose primary appointment is in the department (excluding the Chair, the Dean and assistant and associate deans of the College, the Executive Vice President and Provost, and the President).

#### 4. Conflict of interest

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

#### 5. Minimum composition

In the event that the Department does not have at least three eligible faculty members who can undertake a review, the Chair, after consulting with the Dean, will appoint a faculty member from another Department within the College.

### B. Promotion and Tenure Committee

The Department Promotion and Tenure (P&T) Committee, as described in the POA, assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The P&T Committee consists of three or more tenured full Professors and the Chair (*ex officio*). At the beginning of each academic year, one or two new members are elected to serve 2-year terms beginning September 1. At least two new members are elected every year and the senior members then rotate off the committee after serving their term. Members of the committee are elected by the entire faculty (not just those eligible to vote on promotion) in the Department. It is desirable that an individual not serve for consecutive terms. It is desirable that one elected member on the Committee must be from each campus (Columbus or Wooster).

The chair of the P&T committee is elected by committee members for a one-year term, but can be reelected for a second one-year term. Each year, the P&T committee also elects one of its members (other than the chair of the committee) as the 'Procedures Oversight Designee' or POD. If a member of the P&T committee cannot serve, due to illness or other cause, then the Chair shall appoint a replacement.

### C. 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 (POA IX.H.) may be excluded from the count for the purposes of determining quorum only if the Chair has approved an off-campus assignment.

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

### D. Recommendation from the Committee of the Eligible Faculty

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

1. Appointment

A positive recommendation from the eligible faculty that a faculty candidate is acceptable to the department must receive a two-thirds vote. Faculty then rank the candidates for appointment based on a simple majority of the positive votes.

2. Reappointment, promotion and tenure, promotion, and contract renewal

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

## IV. Appointments

### A. Criteria for appointment

The Department of Plant Pathology commits itself to appointing to the faculty only those persons who will enhance or have strong potential to enhance the quality of the Department and advance its mission.

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. The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end 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 Chair, the dean, and OAA. 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.

Criteria for appointment shall follow the rules applying to tenure-track faculty as described in Chapter 6 of the Rules of the University Faculty. A minimum requirement for appointment at the rank of Assistant Professor is completion of an earned doctorate in plant pathology or a related field of study. In addition, the candidate must have a record of scholarly achievement that demonstrates, as judged by the faculty, a strong potential to attain tenure and advance through the faculty ranks. Criteria for appointment at higher ranks will be consistent with criteria for promotion to those ranks discussed herein in Section VII Reviews for Promotion and Tenure and for Promotion.

*Assistant Professor.* Probationary periods of appointment of tenure-track faculty will be in accordance with Chapter 6 of the Rules of the University Faculty. An appointment to the rank of Assistant Professor is always probationary and may not exceed six years, including prior outside service credit. An Assistant Professor is reviewed for promotion and tenure no

later than the sixth year of appointment and informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year. 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 OAA, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

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

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

## 2. Professional practice faculty

Criteria for appointment shall follow the rules applying to professional practice faculty as described in the Rules of the University Faculty, 3335-7-05. (NB: the current faculty rules (October 2014) refer to this faculty as Clinical Faculty. CFAES has approval for this faculty as professional practice). Professional practice faculty appointments are fixed-term contract appointments that do not entail tenure. Professional practice faculty shall be engaged in teaching and outreach related to the mission and goals of the Department. There is no presumption that subsequent contracts will be offered regardless of performance.

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

*Assistant Professor of Professional Practice.* An earned doctorate is the minimum requirement for appointment at the rank of Assistant Professor of Professional Practice. Evidence of ability to teach is highly desirable.

*Associate Professor of Professional Practice and Professor of Professional Practice.* Appointment at the rank of Associate Professor of Professional Practice or Professor of Professional Practice requires that the individual meets, at a minimum, the Department's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks.

### 3. Research faculty

Criteria for appointment shall follow the rules applying to research faculty as described in the Rules of the University Faculty, 3335-7-32. Research faculty appointments are fixed-term contract appointments that do not entail tenure. Research faculty are researchers and shall be engaged in research related to the mission and goals of the Department. Tenure is not granted to research faculty. There is no presumption that subsequent contracts will be offered, regardless of performance.

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

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

### 4. Associated faculty

Associated faculty appointments may be as short as a couple of 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 may be compensated or uncompensated. 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.

*Instructor of Professional Practice, Assistant Professor of Professional Practice, Associate Professor of Professional Practice, Professor of Professional Practice.* Associated professional practice appointments may either be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service such as mentoring students to the Department, for which a faculty title is appropriate. Associated professional practice rank is determined by applying the criteria for appointment of professional practice faculty. Associated professional practice faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of professional practice 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 institution. 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.

#### 5. Courtesy faculty

Tenure-track, professional practice, and research faculty members from other TIUs within OSU may be given appointments as courtesy faculty in the Department if they are substantially involved in the academic work of the Department. Courtesy faculty are encouraged to participate in other departmental activities and programs.

Courtesy appointments are made at the same rank held in their home Department. Courtesy appointments do not require formal annual renewal, but continuation will require ongoing contributions to departmental activities.

#### 6. Emeritus faculty

Emeritus faculty are those who have retired after serving as tenure-track, professional practice, or research faculty members in the Department and who, upon retirement, have requested and were recommended for emeritus status by the Chair, the Dean, and the Provost. They hold non-salary appointments. Emeritus faculty are invited to participate in departmental activities and programs; however, they may not vote in the governance of the Department or participate in promotion and tenure decisions. Office, laboratory, and other facilities may be provided to emeritus faculty members, depending on the available resources and the stated needs of the retired individual. The Chair makes all decisions regarding use of facilities. Use of departmental resources will be evaluated yearly by the Chair.

## B. Search and appointment procedures

### 1. Tenure-track faculty.

For each prospective tenure-track faculty position, the Chair will appoint a search committee composed of a minimum of four Department faculty and one graduate student representative. Faculty from both campuses (Columbus and Wooster) may be included on all search committees. One to two members from another academic unit with activities relevant to the position, or a prominent representative of a stakeholder organization, may also be appointed as members. The Chair will appoint one of the members of the Search Committee to serve as committee Chair, usually a departmental faculty member residing at the campus on which the new appointment is to be made. The Chair will also appoint one of the committee members (other than the Chair) as the Diversity Advocate. The committee will develop a position description, which must be approved by the Chair and by a majority vote of the faculty. The Chair will then submit the position description and a justification statement to the administrative cabinet of the College to obtain permission to initiate a search.

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 OAA in advance.

All search procedures for tenure-track faculty will be in accordance with University procedures as outlined in the bulletin *A Guide to Effective Searches* published by the OSU Office of Human Resources, and subject to guidelines from CFAES. The position will be advertised in an appropriate manner to attract the best possible scholars for the position. Advertising will be consistent with the University policies to hire and attract both international and national scholars. Vigorous efforts will be taken to attract a diverse pool of highly qualified candidates. Complete records will be kept of the manner in which the search is conducted and of all contacts with prospective candidates. Application files will be kept in a secure location which is accessible to all Department faculty for their review. Following the open application period, members of the Search Committee will carefully review the files of all applicants and seek relevant information from other sources as appropriate. The criteria used in evaluation of the candidates and all records of the search process will be documented. All Department faculty will be encouraged to review the files at this time and make their views known to members of the search committee. Based on their own views, and comments from the faculty and the Chair, the Search Committee will select applicants for interview (usually 3 or 4 individuals). The committee chair will notify the Chair in writing of their choices, listing criteria for the selection of these candidates based solely on valid academic experience and achievement.

The Chair and Search Committee chair will together arrange for and conduct campus interviews of the final candidates. Interview procedures will include visits to both the Columbus and Wooster campuses, presentation of a formal seminar, visits with appropriate administrators of the College, and the opportunity for each member of the faculty to visit with each candidate either privately or in small groups of faculty. Following completion of the interviews, the Chair will call a meeting of the eligible faculty to discuss the candidates.

After full discussion of all candidates, a vote of the eligible faculty will be taken. The first vote is on whether the candidate is acceptable to become faculty member in the Department by two-thirds of the faculty. The second vote ranks the candidates in order of preference. The Chair will forward a recommendation to the Dean to extend an offer to this candidate.

If no candidate receives support from a simple majority of the faculty, discussion will then be re-opened. If, after discussion and several ballots, no candidate ultimately receives support from the faculty, further candidates will be interviewed until a candidate can be found who engenders such support.

All offers at the rank of Associate Professor or Professor, with or without tenure, and all offers involving the acceptance of prior service credit require the prior approval of OAA. Offers to foreign nationals require prior consultation with the Office of International Affairs.

Faculty members may be selected through the actions of an interdisciplinary program of the University, using procedures approved for the specific interdisciplinary program or through accommodation of a partner. A candidate can request academic appointment (i.e., TIU appointment) in the Department of Plant Pathology after the person has been selected by the members of the interdisciplinary program or the partner has been selected by another Department at the University. Such a request must include a copy of the curriculum vitae of the candidate, and a letter outlining the reasons for desiring the appointment in the Department. The Chair will call a meeting of the faculty to discuss the candidate, and then a vote will be taken of the eligible faculty (including the Chair). A candidate must receive a two-thirds positive vote for appointment. The Chair informs the Dean and the administrative leader of the interdisciplinary program or the requesting Department in writing of the outcome of the vote.

## 2. Professional practice faculty.

In accordance with procedures established for tenure-track faculty positions, professional practice faculty appointments will be created based on departmental priorities and strategic goals as well as meeting the needs of the undergraduate and graduate students. An exception to conducting a national search requires approval by the Dean. Prospective candidates will submit a dossier formatted as required for a tenure-track position, including curriculum vitae, letters of recommendation, and a teaching statement. If an external search is conducted, a departmental Search Committee will be formed as described for tenure-track positions to review applications from qualified candidates to present to the Department. Potential candidates will provide a teaching seminar and interview with the eligible faculty. The Search Committee will solicit comments from faculty, staff, and students and present a summary to the eligible faculty for discussion. The discussion will not only focus on the strength or weakness of the candidate, but breadth of knowledge and ability to teach in the desired course topics. A vote of the eligible faculty will be taken and provided to the Chair who will determine whether or not to proceed with hire. A two-thirds majority vote will indicate faculty approval of the candidate.

3. Research faculty.

In accordance with procedures established for tenure-track faculty positions, research faculty appointments will be created based on departmental priorities and strategic goals. An exception to conducting a national search requires approval by the Dean. Prospective candidates will submit a dossier formatted as required for tenure-track positions, including curriculum vitae, letters of recommendation, and a research statement. Should the research faculty position arise internally to elevate an existing distinguished researcher in the Department, the candidate will have a sponsoring faculty member who will oversee the dossier development and application process. In this situation, the dossier will be required to include the intended term of the position, statement of intended budget complete with existing funds and detailed plan for obtaining sustaining funds, and statement of expectations, responsibilities, and desired outcomes of the position. If an external search is conducted, a departmental Search Committee will be formed as described for tenure-track positions to review applications for qualified candidate to present to the department. Regardless of whether they rise from an external search or internal sponsor, potential candidates will provide a research seminar and interview with the eligible faculty. The Search Committee, or sponsoring faculty member, will solicit comments from faculty, staff, and students and present a summary to the eligible faculty for discussion. The discussion will not only focus on the strength or weakness of the candidate, but relevance of their research plan to needs of the department and any potential overlap with an existing program or research area. A vote of the eligible faculty will be taken and provided to the Chair who will determine whether or not to proceed with hire.

4. Associated faculty.

The appointment, review, and reappointment of all compensated associated faculty is decided by the Chair in consultation with the eligible faculty.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the Department and is decided by the Chair in consultation with the eligible faculty.

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.

Requested appointments for *visiting faculty* usually come to the Department as a result of an association with an individual member of the faculty and plan to work in their laboratory for a defined period of time while on leave from their own institution. Appointments of visiting faculty are made by approval of the Chair following the written submission of specific plans for scholarly activities to be undertaken during the time the visiting faculty member will be in

residence in the Department. Appointment for more than one year requires a majority vote of the faculty.

*Adjunct faculty* usually come to the Department as a result of: 1) their employment as a scientist within a unit of a governmental research organization (usually the United States Department of Agriculture) located on the Columbus or Wooster campus; 2) their interest in direct participation or collaboration in the academic programs of the Department; and 3) the Department's willingness to provide them with office and/or laboratory space. Request for an adjunct appointment in the Department for a government scientist will usually follow appointment of the person to a scientific position by the governmental agency and may be initiated by the scientist or by faculty members of the Department. In some cases, requests for adjunct status may come from allied professionals not in residence within the Department (i.e., not using office and/or laboratory facilities under departmental control) who wish to participate in the academic programs of the Department. In all cases of requests for adjunct status, complete, updated curriculum vitae of the candidate will be submitted to the Chair who will transmit copies to all department faculty. At a faculty meeting, the candidate will appear before the faculty, indicate his/her interest in joining the Department with adjunct faculty status, and outline the role that he/she intends to take in the academic programs of the Department. Adjunct status will be granted upon a positive vote of two-thirds majority of the faculty and approval of the Chair, the Dean, and OAA. Adjunct faculty may participate in all Departmental activities but are not accorded voting rights. The activities of adjunct faculty resident within the Department will be reviewed annually by the same procedures used for faculty, discussed herein in V. Annual reviews. The activities of all other adjunct faculty will be reviewed annually by the Chair and brought to the attention of the faculty. If at any time the faculty of the Department judge that any adjunct member of the faculty has not maintained a substantial involvement in the academic work of the Department, renewal of adjunct status can be disapproved by majority vote of the faculty, effective at the end of any annual appointment period. If adjunct status is revoked, further use of departmental space and facilities will be reevaluated and may be denied by the Chair if no longer deemed appropriate.

#### 5. *Courtesy faculty.*

Request for a courtesy appointment in the Department for a faculty member from another tenure initiating unit within the University may be initiated by that person or by faculty members of the Department. Complete, updated curriculum vitae of the candidate will be submitted to the Chair who will transmit copies to all Department faculty. At a faculty meeting, the candidate will appear before the faculty, indicate his/her interest in joining the Department with courtesy faculty status, and outline the role that he/she intends to take in the academic programs of the Department. Courtesy faculty status, at the same rank as in the TIU, will be granted upon a two-thirds majority vote of the faculty and approval of the Chair. Courtesy faculty may participate in all departmental activities but are not accorded voting rights. The activities of courtesy faculty will be reviewed annually by the Chair and brought to the attention of the faculty. If at any time the faculty of the Department judge that a courtesy member of the faculty has not maintained a substantial involvement in the academic work of the Department, courtesy faculty status can be revoked by majority vote of

the faculty, effective at the end of any academic year. If courtesy status is revoked, further use of Departmental space and facilities, if any, will be reevaluated and may be denied by the Chair if no longer deemed appropriate.

#### 6. Emeritus faculty.

Request for appointment as an emeritus faculty member must originate with the retired or retiring faculty member. Typically, the request is made in a letter to the Chair three months before or after the retirement date. The Chair then conducts a vote of the eligible faculty (including the Chair) for appointment. A two-thirds positive vote is necessary for appointment. The Chair notifies the retired faculty member and Dean of the college in writing of the outcome of the vote. No annual reappointment is necessary.

## V. Annual Review Procedures

The Department follows the requirements for annual reviews as set forth in the [Faculty Annual Review Policy](#). The annual reviews of every faculty member are based on expected performance in teaching, research, and service as set forth in the Department's guidelines on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material must be submitted to the Chair by the deadline announced by the Chair at least one month prior to the meeting of the Annual Program Review committee described in the departmental [Pattern of Administration](#).

The Chair is required (per [Faculty Rule 3335-3-35](#)) to include a reminder in the annual review letter that all faculty have the right (per [Faculty Rule 3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

### A. Probationary Tenure-track Faculty

Every probationary tenure-track faculty member is reviewed annually by the Chair, who meets with the faculty member to discuss his or her performance, future plans, and goals; and prepares a written evaluation that includes evaluations from the Annual Program Review Committee and the faculty member's Mentoring Committee (see section X), and a recommendation on whether to renew the probationary appointment.

If the Chair recommends renewal of the appointment, this recommendation is final. The Chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The Chair's letter (along with the faculty member's comments, if received) is forwarded to the Dean. 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 Chair recommends nonrenewal, the Fourth-Year Review process (per [Faculty Rule 3335-6-04](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the College for review and the Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

### 1. Regional Campus Faculty

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.

### 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 Chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are only solicited when either the Chair or the eligible faculty 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 the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input.

The eligible faculty conduct a review of the candidate. On completion of the review, the eligible faculty vote by written ballot on whether to renew the probationary appointment.

The eligible faculty forward a record of the vote and a written performance review to the Chair. The Chair conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the departmental review, the formal comments process (per [Faculty Rule 3335-6-04](#)) is followed and the case is forwarded to the College for review, regardless of whether the Chair recommends renewal or nonrenewal.

### 3. Exclusion of Time from Probationary Period

[Faculty Rule 3335-6-03](#) (D) 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 [OAA Policies and Procedures Handbook](#).

## B. Tenured Faculty

Associate Professors are reviewed annually by the Professors, who submit a written performance review to the Chair along with comments on the faculty member's progress toward promotion. The 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. The faculty member may provide written comments on the review.

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

### C. Professional Practice Faculty

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

In the penultimate contract year of a professional practice faculty member's appointment, the 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](#) 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 tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

### D. Research Faculty

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

In the penultimate contract year of a research faculty member's appointment, the Chair must determine whether the position held by the faculty member will continue. If it will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in [Faculty Rule 3335-6-08](#) 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 tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

### E. Associated Faculty

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

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

## VI. Compensation, Merit Salary Increases and Other Rewards

### A. Criteria

Compensation decisions should support the recruitment, performance, and retention of high quality and productive faculty.

Acceptable work is required of all faculty members; exceptional work will be rewarded. All faculty members are expected to demonstrate continued intellectual engagement as members of this Department. Annual salary increases will be given to faculty based solely on meritorious performance, except when an across-the-board increase for all employees is mandated by the University. In determining merit, consideration will be given to performance during the previous year, the record of performance during the past several years, the appropriateness of the salary level with regard to the individual's overall record of accomplishments, and to compensation to others within CFAES and peers at comparable institutions. Consideration also will be given to the achievement of any specific written goals as specified in the previous annual performance review letter to the individual from the Chair.

Faculty performance will be evaluated in light of individual contributions made to the advancement of the Department's mission. The roles and responsibilities of individual faculty with regard to components of the departmental mission vary considerably and are reflected by their appointment (see IV.C.); however, all tenured and tenure-track faculty are expected to advise graduate students and to engage in scholarly activity.

The mission of the Department and the necessity for positive interactions and contributions within the community of scholars cannot be achieved without the demonstration of faculty citizenship and collegiality. All tenured, tenure-track, and professional practice faculty members are expected to make positive contributions with respect to academic service, contribute to and participate in professional organizations and activities, and contribute to and participate in the academic functions of the Department. Areas of participation include: attendance and participation in seminars, invited speaker programs, departmental meetings, faculty meetings, committee meetings, student activities where faculty participation is expected or invited, etc. Research faculty may, but are not required to, contribute to service functions.

All faculty members are expected to demonstrate respect and responsible behavior towards administrators, peers, staff, students, and clientele. In this regard, a record of good citizenship within the Department will be an important consideration when evaluating performance for the determination of salary increases. Special consideration will be given to faculty who provide extraordinary service, but this will not relieve them of demonstrating excellence in teaching and other scholarly activities.

Faculty who are on professional leave, serving as visiting professors, or participating professionally in approved off-campus assignments, will not be penalized by loss of a salary increase while away from the Department. In these cases, the faculty member will provide the Chair and Associate Chair with a timely progress report of his/her activities containing sufficient information for their review.

Cash payments as part of the compensation process may be provided in accordance with the annual guidelines issued by the Provost and the Senior Vice President for Human Resources. In all cases, a brief summary of the reason for the cash payments is documented.

#### B. Procedure for determining annual merit increases

Among the most important decisions made by the Chair and Associate Chair are those concerned with recommendations for annual salary increases. All available information will be carefully weighed in making salary decisions. Particular emphasis will be given to the Annual Program Review and the annual Promotion and Tenure Review processes. Information obtained from both these review sessions and from written documents submitted by each faculty member prior to each review (updated P&T dossiers and Annual Program Review reports) will be weighed carefully when evaluating faculty performance. No mathematical formula will be used for evaluation of faculty, but consideration will be given to accomplishments in all areas of faculty responsibility, including, teaching, research, and service.

Determining recommendations for annual salary increases is particularly difficult because each department is allocated a fixed amount of funds that can be distributed as merit increases. Thus, for any person to receive an above-average salary increase, someone else must receive less. Working together, the Chair and Associate Chair will determine for each tenure-track faculty member a recommended salary increase based on the total funds available and the performance criteria specified above. In making this determination, consideration will be given not only to the percentage increase in salary represented by the proposed raise, but to its actual dollar amount, and to the appropriateness of the individual's salary level with regard to his/her overall record of accomplishments, salaries of other departmental faculty, and salaries of others within CFAES. In particularly meritorious cases, applications to the Dean will be made for special excellence/equity raises, if supplementary funds for such are available in a given year. A decision to recommend no salary increase is an option that will be considered in cases that are particularly non-meritorious. All salary recommendations will be brought to members of the Dean's cabinet at a meeting called each year to obtain their comments and approval. Results of salary decisions will be communicated to each faculty member in writing, usually in August, once final approvals have been received.

A faculty member who has a concern about their salary or annual adjustments to their salary should schedule a meeting with the Chair to discuss their concerns and obtain explanations for decisions that have been made regarding their salary.

#### C. Documentation

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

- updated CV, which will be made available to all faculty in an accessible place
- updated [OAA dossier outline, Volume 3](#)

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

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

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

### 1. Teaching

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

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

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

Other relevant documentation of teaching as appropriate.

### 2. Research

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

Documentation of grants and contracts received.

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

### 3. Service

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

## VII. Reviews for Promotion and Tenure

Awarding of tenure to tenure-track faculty and for promotion to Associate and full Professor for tenure-track, professional practice, and research faculty, are based on convincing evidence that the faculty member has achieved and demonstrates a strong case for continued excellence in research, teaching or extension, and has provided effective service to the Department, College,

University, and/or profession. It should be emphasized that faculty have appointments in one or more areas from three funding sources: OSUGF, OARDC, and OSUE. Thus, faculty performance shall be evaluated in the context of their position description, and their agreed-upon annual goals, with primary emphasis given to areas where the individual has more substantial commitments.

## A. Criteria for evaluation of teaching, research, and service

### 1. Teaching

*Teaching* in the Department of Plant Pathology includes activities such as formal (credit-earning) classroom teaching, continuing education, advising undergraduates and graduate students, directing thesis research and independent study projects, and/or extension (outreach) education. Depending on his/her appointment, an individual may have responsibility for guest lectures in several formal OSU courses or have full responsibility for one or more courses. For extension or outreach education, teaching includes presentations and lectures, workshops, in-service' training, short-courses, demonstrations in grower 'field-days', preparation of written and electronically-distributed educational materials, one-on-one instruction, diagnostic and professional practice activities, and other non-degree educational programs.

In all cases, excellence in teaching requires a demonstrated high-level of accomplishment for most of the following measures of teaching as appropriate for the position description:

- Mastery of the subject matter;
- Continuous growth in subject matter knowledge;
- Ability to organize and communicate class material with logic, conviction, and enthusiasm;
- Objectivity;
- Contributions to curricula or program development;
- Creativity in course or program development, methods of presentation and incorporation of new materials and ideas;
- Capacity to enhance students' awareness of the relationship between subjects studied, important problems, and other fields of knowledge;
- Advising undergraduates, graduate students, post-docs, and extension clientele; and
- Directing graduate and undergraduate research programs.

In addition to the above, the following measures of teaching performance are expected of extension teachers:

- An understanding of the needs for knowledge by outreach students/clients/users;
- The ability to communicate effectively with outreach students;
- The ability to anticipate the needs of outreach students and respond with appropriate educational activities;
- The development and delivery of outreach education programs;
- Changed practices, policies or behavior from outreach education;
- The development of teaching materials; and

- Extension publications and juried presentations.

## 2. Research

*Research* in the Department occurs through individual or team-based accomplishments that lead to the generation of some element of creative or innovative activity that is peer reviewed and published in an appropriate form, licensed technology or patented inventions and invited scholarly presentations. Typically this involves research in any aspect of the nature of plant pathogens and plant associated microbes, management of plant diseases, and their impact on society and their interaction with the environment; however, this also may include creative activity in any area relating our discipline to human society and its needs and/or to the development of new and innovative methods for teaching and extension in areas of expertise within plant pathology. To be considered scholarship, an activity must: 1) lead to the creation of something that did not exist before; 2) be validated by peers and/or by external sources; and 3) exemplify one or more of the forms of discovery, integration, transformation, or application.

Significance of the contributions is the key factor in the evaluations, not simply the order of authors in multi-authored publications. The quality and appropriateness of the publication outlets (e.g., refereed journals) will be evaluated in the review. Flexibility must be given here in the evaluation because one peer-reviewed venue might be the most appropriate outlet for a given candidate based on the type of research work being conducted, whereas another may be more appropriate for a different candidate. There is no single metric characterizing the impact or significance of a journal or article within a journal. Quality, significance, focus, and depth of individual research publications or other outputs and the overall program, within the context of the candidate's appointment, will be evaluated internally (through the deliberations of the P&T Committee and discussions with departmental faculty) and externally through letters of evaluation. Both the quantity and quality of research are important to document, as is the pattern of production of these efforts during the probationary period or period since the last promotion.

Obtaining external funds for conducting research is an important component of a high-quality research program. Although obtaining funding from highly-competitive, peer-reviewed granting programs is one measure of quality of a candidate's achievements, lack of funding from certain granting programs is not necessarily an indication of poor quality. That is, external funds are not obtained simply to demonstrate significance of the research, but to provide a means so that research can be done. All faculty have an obligation to obtain the necessary funding to support their research, but the source of the funding should be appropriate for their appointment and nature of their studies.

Other measures that indicate the quality of a research program are: invitations to speak at national and international scientific conferences, to give seminars or workshops at other universities, and to write book chapters or to edit books on areas of expertise; prestigious awards received; and membership and activity on regional or national and international research (or policy) related committees. Serving as an Associate or Senior

Editor of scientific journals and serving on review panels for national or regional competitive grants programs are further recognition of a faculty members expertise, even though these can also be considered service functions.

External evaluation is important for assessing the quality and impact of the research conducted by a candidate; however, primary responsibility for assessing quality, and assessing statements made by external reviewers, rests with the Department.

### 3. Service

*Service* is expressed as: active participation in committees of the Department, College, or University; service to the profession and to professional organizations; and application of professional expertise in service to the community, state, nation, and internationally. In all cases, a high standard of Departmental and University citizenship is required as part of the service expectations for promotion and tenure. Citizenship is shown in terms of positive contributions to departmental, College, and University committees; participation in departmental activities; maintaining a high level of collegiality; and working towards the improvement and advancement of the Department, College, and University. When faculty members show special ability in service, this will be part of the consideration given during promotion and/or tenure review, but such special ability or performance in service will not relieve the candidate of demonstrating excellence in research and teaching.

Although service within the University can be evaluated by members of the Department, external evaluators may provide useful appraisal of service at the national or international level in, for example, academic societies.

## B. Criteria for promotion and for tenure

### 1. Promotion to rank of Associate Professor with tenure

As specified by [Chapter 6 of the Rules of the University Faculty](#), tenure will not be awarded below the rank of Associate Professor. The awarding of tenure and promotion to the rank of Associate Professor must be based on evidence that the faculty member: 1) has achieved excellence as a teacher and as a researcher; 2) provides effective service; and 3) can be expected to continue a program of high quality teaching, research, and service relevant to their specific appointment and the missions of the Department, College, and University. Every candidate will be held to a high overall standard of excellence, but the nature of the appointment and assigned responsibilities will be of major importance in evaluating the candidate. Excellence in scholarship must be demonstrated for promotion, and this scholarship can be in research or teaching depending on the appointment; that is, clear demonstration of excellence is essential in the areas central to the candidate's assigned responsibilities. A less than excellent performance in the area of primary responsibility cannot be counterbalanced by excellence in an area of lesser responsibility.

### 2. Promotion to rank of Professor

Promotion to the rank of Professor is based on convincing evidence that the faculty member: 1) has a sustained record of excellence in classroom teaching, student advising,

and/or extension (outreach) education; 2) has produced a significant and focused body of research that is nationally or internationally recognized for its impact on the field of plant pathology or related areas of science; and 3) has demonstrated leadership in service. Individuals seeking promotion to full professor will be assessed in relation to the nature of their position description and assigned responsibilities. Exceptional performance in scholarship (research or teaching) and leadership in the areas with greatest responsibilities are required. The Department expects an individual that is worthy of promotion to Professor to be a role model for less senior faculty, for students, and for the profession. Promotion to Professor will not result from simply performing adequately for a given number of years as an Associate Professor.

### 3. Professional Practice Faculty

**Promotion to Assistant Professor of Professional Practice.** For promotion to Assistant Professor of Professional Practice, a faculty member must complete his/her doctoral degree and be performing satisfactorily in teaching, professional practice, and service.

**Promotion to Associate Professor of Professional Practice.** For promotion to Associate Professor of Professional Practice, 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-clinical are similar to those for promotion to Associate Professor with tenure. Research activity is not expected.

**Promotion to Professor of Professional Practice.** For promotion to Professor of Professional Practice, 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.

### 4. Research Faculty

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

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

## C. Procedures

### 1. Candidate Responsibilities

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with OAA guidelines. Candidates should not sign the OAA Candidate Checklist without ascertaining that they have fully met the requirements set forth in the OAA core dossier outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the departmental APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the Department.
- To review the list of potential external evaluators developed by the 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 Chair decides whether removal is justified. (Also see External Evaluations below.)

### 2. Promotion and Tenure Committee Responsibilities

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of Professor. A two-thirds majority of those 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 (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](#) 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.

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- Consistent with OAA 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 Chair that a nontenured 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 this department.
- A decision by the committee to permit a review to take place in no way commits the eligible faculty, the 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 OAA annual procedural guidelines.
- **Late Spring:** Suggest names of external evaluators to the Chair.
- **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with OAA requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
- Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
- Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the 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 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.

### 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.

### 4. Department Chair Responsibilities

The responsibilities of the 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 this department.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the Chair and the candidate. (Also see External Evaluations below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- 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.
- 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 departmental review process:
  - of the recommendations by the eligible faculty and Chair
  - of the availability for review of the written evaluations by the eligible faculty and Chair
  - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the Chair, for inclusion in

the dossier. The letter is accompanied by a form that the candidate returns to the 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 Chair recommends against promotion. A negative recommendation by the 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 Chair's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

## 5. 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, all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for professional practice faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a professional practice faculty member will be made by the Chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

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 can give an objective evaluation of the research record and 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.

Because the Department cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than 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 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 3335-6-04](#) 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 OAA nor this Department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the [OAA suggested format](#) 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 Chair, who will decide what, if any, action is warranted (requesting permission from OAA 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 OAA for advice.

#### D. Documentation

All candidates for promotion and/or tenure must demonstrate and document clear excellence in teaching (degree granting or extension/outreach), research, and service relative to their titles, position descriptions, and the criteria outlined above. The nature and extent of the contribution will be commensurate with assigned responsibilities and the amount of time allocated for each activity. Documentation of the candidate's productivity in every area of evaluation must be included and consistent with the requirements outlined in the [OAA Policies and Procedures Handbook](#).

1. Teaching

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

Peer evaluation of teaching reports as required by the Department's peer evaluation of teaching program (details, including required number, included in section VII below)

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

Other relevant documentation of teaching as appropriate.

2. Research

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

Documentation of grants and contracts received.

Other relevant documentation of research scholarship as appropriate (for example, published reviews, invitations to speak at national or international meetings, patent applications, grants and contract proposals that have been submitted).

3. Service

A list of all service activities, and any available documentation of the quality of service that enhances the list of service activities in the dossier.

## VIII. Appeals

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

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

## IX. Seventh Year Reviews

[Faculty Rule 3335-6-05](#) sets forth the conditions of and procedures for a Seventh Year Review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review.

## X. Procedures for Student and Peer Evaluation of Teaching

### A. Student Evaluation of Teaching

Student evaluations of individual courses are required for every regular (credit-based) classroom course taught. University-supplied SEI evaluation forms will be used for all classes, although more specialized evaluation forms can be used to supplement university forms. The SEI evaluations will normally be done through the University's online system. The TE/Mentoring Committee of the candidate will determine procedures for the distribution and collection of evaluation forms, and the compilation and comparison of results. Evaluation forms will be distributed by someone identified by the TE/Mentoring Committee (not the candidate) and will be returned to the TE/Mentoring Committee. The summary SEI report from the University should be given directly to the TE/Mentoring Committee. Because extension (outreach) teaching is done in situations that are much more variable than classroom teaching, evaluation of extension (outreach) presentations will be done using the EEET instrument provided by OSUE where this is deemed appropriate by the TE/Mentoring Committee. Where use of the EEET is deemed inappropriate, other approaches may be used as approved by the TE/Mentoring Committee.

For faculty members with substantial classroom teaching responsibilities, additional means of student evaluation are appropriate, as decided by the TE/Mentoring Committee. These may include exit interviews of undergraduate advisees and surveys of former students. Letters of evaluation from former graduate students may also be appropriate in many cases. The TE/Mentoring Committee will select the students to provide the evaluations. The TE/Mentoring Committee takes responsibility for the oversight of the peer review of teaching. In this capacity, the TE/mentoring committee may ask other faculty to observe the classroom and/or extension presentations, depending on the area of specialization of the candidate, and give a report to the TE committee, or members of the TE/Mentoring Committee may do this directly. Peer evaluation of classroom teaching should include TE/Mentoring Committee review of course materials, including syllabi, exams, and instructional material, as well as observations of classroom teaching. Course material may be sent to faculty at other universities in the same specialty for appraisal. These evaluations will be done as part of an organized plan, determined in the periodic meetings of the committee with the candidate, rather than by haphazard appearance of evaluators at lectures. Representative lectures from all courses will be observed. Peer evaluation of extension (outreach) teaching includes committee review of extension publications (e.g., Newsletters, Fact Sheets, Bulletins, Electronic Media products, etc.), computer programs, teaching material (e.g., slides, overheads, electronic and computer demonstrations), and observations of extension presentations. Peer evaluations of teaching materials may also be solicited from extension faculty in other departments or universities, if appropriate. Surveys of county agents or district specialists in OSUE, using evaluation instruments developed by OSUE, may provide information relevant for peer evaluation; however, county agents and district specialists can also be considered students of the candidate in that instructional material is often aimed at these individuals, thus, flexibility must be considered in evaluation of extension teaching.

## B. Peer Evaluation of Teaching

*Teaching Evaluation and Mentoring Committees.* To ensure that a constructive and systematic review of teaching is performed, a Teaching Evaluation (TE) or Mentoring Committee as described in the POA will be appointed by the Chair for all teaching faculty members. As noted in the POA, a TE Committee is appointed for each tenured Associate Professor; a Mentoring Committee is appointed for each tenure-eligible Assistant Professor. The TE Committee consists of two tenured Professors from the Department, and they will serve in this role for the duration of time that the person is in rank. The Mentoring Committee consists of three faculty members from the Department who are senior in rank to the candidate. A change in the committee membership may be approved by the Chair when a committee member is not available, or when a member or the candidate requests to the Chair (with cause) that the membership change. The functions of the TE/Mentoring Committee will be to counsel with the candidate, coordinate the evaluation of his/her performance in teaching and extension education, make an annual report on his/her progress each June to the P&T committee, and assist and actively mentor the candidate in assembling pertinent evaluative information for inclusion in his/her dossier.

The TE/Mentoring Committee has responsibility for working with the candidate regarding the ongoing systematic appraisal of teaching performance. Members of the TE committee work with the candidate over time to develop and implement a strategy for the evaluation of teaching (classroom or extension). That is, the TE/Mentoring Committee will determine, after consultations with the candidate, the appropriate evaluations of teaching based on the appointment of the candidate. This is a pro-active procedure in that many of the decisions on teaching evaluation methods will be made before the teaching is performed. The TE/Mentoring Committee will provide a written report annually to the P&T committee during their deliberations each June.

Other forms of teaching evaluation used by the TE/Mentoring Committee may include: assessment of the success of the candidate's former graduate students and post-docs; the extent to which teaching materials developed by the candidate have been adopted by faculty at other institutions; the extent to which the candidate is invited to provide expertise on teaching; the extent to which the candidate is requested to give invited lectures (including extension presentations) in other departments, or other universities, or states; membership on national teaching committees; and teaching awards.

A self-evaluation of teaching (classroom and/or extension) will be conducted through the preparation of a statement by the candidate of his or her approach to, and goals for, teaching, a self-assessment of accomplishments, and a description of the strategies for improvement. A draft of this statement will be prepared after two years in rank and shared with the TE/Mentoring Committee for evaluations and feedback. This self-evaluation statement should be revised at least every other year.

*Annual Teaching Evaluation letters.* As indicated above, each TE/Mentoring Committee will provide a written report annually to the P&T Committee during their deliberations each June. This is required every year, even if the candidate did not engage in any direct classroom or extension education efforts during that year. Such letters should address all teaching activities

of the candidate since the last letter was written to the P&T Committee. Assessments should be made wherever appropriate on any or all of the measures of teaching effectiveness listed above. These are outlined in the APT document of the College and in the CFAES Faculty Reward System Guidelines.

Teaching Evaluation letters should be addressed to the entire P&T committee. The original TE letter with signatures will be placed in each candidate's official file maintained in the Columbus office. Copies of each TE letter will be distributed to all current members of the P&T committee for their use during the annual review process. Each TE/Mentoring Committee will give a copy of the TE letter to the candidate for whom the letter was written to provide annual feedback on evaluation of their teaching effectiveness. The TE/Mentoring Committee should schedule a time to meet with the candidate to discuss points in the letter if either the committee members or the candidate wishes to do so. Copies of TE letters WILL NOT be made available each year to the faculty at large during the annual evaluation process. Updated dossiers which are made available annually to all faculty members include only the core portion of the document which outlines accomplishments, but does not include evaluative material; however, when a case comes to the eligible faculty for P&T consideration, all TE letters will be made available to all eligible faculty. At that time, a series of TE letters will exist and progress in teaching effectiveness can be seen.