

Appointments, Promotion, and Tenure

Criteria and Procedures for The Ohio State University

Agricultural Technical Institute in the College of Food, Agricultural, and Environmental Sciences

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I Preamble

This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs [Policies and Procedures Handbook](#); and other policies and procedures of the College of Food, Agricultural, and Environmental Sciences (CFAES) and The Ohio State University to which The Ohio State University Agricultural Technical Institute (Ohio State ATI) and its faculty are subject.

Should those rules and policies change, the Ohio State ATI 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 Ohio State ATI director.

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the Ohio State ATI 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 and the Office of Academic Affairs accept the mission and criteria of Ohio State ATI and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to Ohio State ATI mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](#) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule [3335-6-02](#) and other standards specific to Ohio State ATI and the college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's [policy on equal employment opportunity](#).

II Ohio State ATI Mission

The mission of Ohio State ATI is to develop high quality technical competency through our educational endeavors in programs leading to degrees in agriculture, horticulture, environmental sciences, business, and engineering technology. We aspire to provide accessible, high-quality, applied educational experiences leading to associate of science and associate of applied science degrees and certificates.

III Definitions

A Committee of the Eligible Faculty

The eligible faculty for all appointment (hiring), reappointment, promotion, or promotion and tenure reviews must have their tenure home or primary appointment in Ohio State ATI.

The Ohio State ATI director, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, or promotion and tenure.

1 Tenure-track Faculty

Initial Appointment Reviews

- For an appointment (hiring) of an assistant professor, Ohio State ATI relies on search committee recommendations to the director, with the final decision on hiring resting with the director.
- For appointment at senior rank (associate professor or professor), Ohio State ATI relies on search committee recommendations to the director and a vote on the proposed rank cast by all tenured faculty of equal or higher rank than the position requested, with the final decision on hiring resting with the director.

Reappointment, Promotion, or Promotion and Tenure Reviews

- For the reappointment and promotion and tenure reviews of assistant professors, the eligible faculty consists of all tenured associate professors and professors.
- For the promotion reviews of associate professors, the eligible faculty consists of all tenured professors.

2 Professional Practice Faculty

Initial Appointment Reviews

- For an appointment review (hiring or appointment change from another faculty type) of a professional practice assistant professor, Ohio State ATI relies on search committee recommendations to the director, with the final decision on hiring resting with the director.
- For appointment at senior rank (professional practice associate professor or professor), Ohio State ATI relies on search committee recommendations to the director and a vote on the proposed rank cast by all tenured faculty of equal or higher rank than the position requested, and all nonprobationary professional practice faculty of equal or higher rank than the position requested, with the final decision on hiring resting with the director.

Reappointment and Promotion Reviews

- For the reappointment and promotion reviews of professional practice assistant professors, the eligible faculty consists of all tenured associate professors and professors, and all nonprobationary professional practice associate professors and professors.
- For the reappointment and promotion reviews of professional practice associate professors, and the reappointment reviews of professional practice professors, the eligible faculty consists of all tenured professors, and all nonprobationary professional practice professors.

3 Associated Faculty

Initial Appointment and Reappointment

- For the initial appointment (hiring or appointment change from another faculty type) of compensated associated faculty, Ohio State ATI relies on search committee recommendations to the director, with the final decision on hiring resting with the director. Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary professional practice faculty and all tenured faculty of equal or higher rank than the position requested) and prior approval of the college dean. The reappointment of compensated associated faculty is decided

by the institute director in consultation with the relevant division chair.

Promotion Reviews

- Associated faculty are eligible for promotion but not tenure if they have lecturer titles.

The promotion of a lecturer to senior lecturer is decided by the director in consultation with the division chair.

4 Conflict of Interest

Search Committee

There are two types of conflict of interest in a search committee. Below are definitions and expectations for how each conflict will be handled in Ohio State ATI.

- A member of a search committee must disclose to the committee and refrain from further participation in any of the interviews, meetings, or votes that comprise the process if the member:
 - is related to or has a close interpersonal relationship with a candidate
 - is the supervisor (excluding the director) or subordinate of a candidate or
 - herself/himself decides to apply for the position.
- A member of a search committee must disclose to the committee and refrain from participating in search committee activities involving a candidate, if the member:
 - 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 extensively with the candidate or is currently collaborating with a candidate.

Eligible Faculty

A conflict of interest exists when an eligible faculty is or has been to the candidate:

- a thesis, dissertation, or postdoctoral advisee/advisor
- a co-author on more than 50% of publications since appointment or last promotion, including pending publications and submissions
- a collaborator on more than 50% of projects since appointment or last promotion, including current and planned collaborations
- in a consulting/financial arrangement since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services)
- in a family relationship such as a spouse, child, sibling, or parent, or other relationship, such as a close personal friendship, that might affect one's judgment or be seen as doing so by a reasonable person familiar with the relationship.

Such faculty members will be expected to withdraw from an appointment or promotion review of

that candidate.

5 Minimum Composition

In the event Ohio State ATI does not have at least three eligible faculty members who can undertake a review, the director, after consulting with the dean, will appoint a faculty member from another tenure-initiating unit within the college.

B Promotion and Tenure Committee

Ohio State ATI has a Promotion and Tenure Committee that assists the Committee of Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of five tenured faculty members, one from each division and two at large, with a minimum of one professor. The members will elect a chair annually. The term of service is three years, with reappointment possible, and staggered. When considering cases involving professional practice faculty the Promotion and Tenure Committee may be augmented by one nonprobationary professional practice faculty member at the rank of professional practice associate professor or professional practice professor. To avoid real or perceived impropriety of positional power, division chairs and the associate director are not permitted to serve on this committee.

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. Faculty on approved leave of absences may not participate in personnel decisions including promotion and tenure reviews unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the director 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 Committee of the Eligible Faculty

The eligible faculty committee will review and discuss the dossier of each candidate before conducting a secret ballot at the meeting. 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. Participating fully in discussions and voting via remote two-way electronic connection are allowed.

1 Appointment

For appointments at the rank of associate professor or professor, a positive recommendation from the eligible faculty for appointment is secured when a simple majority of the votes cast are positive, with the final decision on hiring resting with the director.

In the case of a joint appointment at any rank, the institute must seek input from a candidate’s joint-appointment TIU prior to his/her/their appointment.

2 Reappointment, Promotion and Tenure, and Promotion

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

In the case of a joint appointment, the institute must seek input from a candidate's joint-appointment TIU prior to his/her/their reappointment, promotion and/or tenure.

IV Appointments

A Criteria

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

Faculty must possess an academic degree relevant to what they are teaching and at least one level above the level at which they teach. When faculty are employed based on equivalent experience, the institution defines a minimum threshold of experience and an evaluation process that is used in the appointment process. See the Office of Academic Affairs [*Policies and Procedures Handbook*](#), Volume 1, Chapter 1, 2.3.1.

The appointment of all compensated tenure-track, professional practice, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT](#) Framework for faculty recruitment.

All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. Formal interviews are required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](#) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

1 Tenure-track Faculty

Because the mission of Ohio State ATI emphasizes undergraduate instruction, the criteria for appointment at the rank of assistant professor, associate professor, or professor are similar to those for faculty elsewhere in the college but give relatively greater emphasis at each rank to teaching experience and quality.

Assistant Professor. A master's degree with at least 3 years of industry or higher education experience is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to Ohio State ATI and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. For individuals not recommended for promotion and tenure after the mandatory review, the 7th year will be the final year of employment.

Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted except through an approved request to exclude time from the probationary period.

Associate Professor and Professor. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

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

Appointments at the rank of professor without tenure should not occur.

Offers to foreign nationals require prior consultation with the Office of International Affairs.

2 Professional Practice Faculty

Except for those appointed at the rank of instructor, for whom a contract is limited to three years, the initial contract for all other professional practice faculty members must be for a period of five years. The initial contract is probationary, with reappointment considered annually. Second and subsequent contracts for professional practice assistant and associate professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for professional practice professors must be for a period of at least three years and no more than eight years. Tenure is not granted to professional practice faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance.

Professional Practice Assistant Professor. An earned doctorate and the required licensure/certification in his or her specialty are the minimum requirements for appointment at the rank of professional practice assistant professor. Evidence of ability to teach is highly desirable.

Professional Practice Associate Professor and Professional Practice Professor. Appointment at the rank of professional practice associate professor or professional practice professor requires that the individual have the required licensure/certification in his/her specialty, and meet, at a minimum, Ohio State ATI's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks.

3 Associated Faculty

Associated faculty appointments may be as short as a few 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. Associated faculty may be reappointed.

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 or a Bachelor's degree and at least five years of teaching/industry experience with documentation of high quality. 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 terminal degree 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/industry 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.

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

4 Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule [3335-5-36](#). Full-time tenure track, professional practice, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the director outlining academic performance and citizenship. The faculty eligible to conduct promotion reviews within the requestor's appointment type (see Section III.A.1-3) will review the application and make a recommendation to the director. The director will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-5-04](#), emeritus status will not be considered.

See the Office of Academic Affairs [Policies and Procedures Handbook](#) Volume 1, Chapter 1, for information about the types of perquisites that may be offered to emeritus faculty, provided resources are available.

Emeritus faculty may not vote at any level of governance and may not participate in promotion and tenure matters.

5 Courtesy Appointments for Faculty

Occasionally the active academic involvement in Ohio State ATI by a tenure-track, or professional practice faculty member from another unit at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in Ohio State ATI. Appropriate active involvement includes research collaboration, graduate student advising, teaching some or all of a course from time to time, or a

combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

B Procedures

The appointment of all compensated tenure-track, professional practice, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT](#) Framework for faculty recruitment. All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. Formal interviews are required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](#) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

See the [Policy on Faculty Recruitment and Selection](#) and the [Policy on Faculty Appointments](#) for information on the following topics:

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

1 Tenure-track Faculty

A national search is required to ensure a pool of highly qualified candidates for all tenure-track positions. This includes all external candidates for all faculty positions. The only exception is for dual career partners, as described in Volume 1, Chapter 4, section 5.1 of the [Policies and Procedures Handbook](#). Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Searches for tenure-track faculty proceed as follows:

The director, in consultation with the faculty, determines the need for a tenure-track faculty member based on existing unit strengths and/or gaps. The college requires documentation of all particulars relative to a position by means of the CFAES position request form, available from the dean or designee. The position request form, and any accompanying documentation demonstrating institute, college, and university strategic alignment of the position must be submitted to the dean or designee before the position will be approved.

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

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

Prior to any search, members of all search committees must undergo the trainings identified in

the [SHIFT](#) Framework for faculty recruitment. In addition, all employees/faculty involved in the hiring and selection process must review and acknowledge the EEO Recruitment and Selection Guidelines in the BuckeyeLearn system.

The [SHIFT](#) Framework serves as a centrally coordinated guideline and toolkit to support the entire process of faculty recruitment with clear engagement from all participating stakeholders involved in the faculty hiring process. This framework is intended to provide faculty engaged in search committees and staff providing support services with the tools and support needed to attract excellent applicant pools, conduct consistent and equitable evaluations, and successfully hire and properly onboard new faculty members who will continue our tradition of academic excellence. This framework consists of six phases, each targeting a specific stage of the recruitment process:

- “Phase 1 | Search Preparation & Proactive Recruitment” is the earliest stage in the search process. Key steps during this phase include determining faculty needs for the unit, creating a search strategy (including timeline), establishing a budget, and identifying additional partners to include in the process. The steps in this phase provide guidance on forming committees, detail training requirements for search committee members, and innovative approaches to advertising and outreach. This section also includes ideas and resources for developing qualified talent pools to ensure alignment with university and unit EEO goals and advance the eminence of the institution.
- “Phase 2 | Preliminary Review of Applicants” focuses on best practices for the application review and candidate screening processes. The guidelines and resources in this section support consistency and fairness in the review, assessment, and selection of candidates moving forward in the recruitment process. This section also outlines how to select a list of candidates for on-campus interviews.
- “Phase 3 | Finalists Interviews & Evaluations” provides guidance and tools for conducting interviews and campus visits, requesting reference letters (if not requested earlier in the application stage), and collecting feedback from everyone who interacted with the candidates. Adherence to the guidelines outlined in this section has a direct impact on enhancing the candidate experience and ensuring a consistent evaluation process. This phase concludes with the submission of a letter from the search committee to the TIU chair/director.
- “Phase 4 | Extend Offer” provides guidance and resources related to effectively selecting the most qualified candidate(s) for the position(s) and successfully negotiating to result in an accepted offer.
- “Phase 5 | Preboard and Onboard” offers resources to help prepare and support new faculty as they transition to Ohio State. The suggestions in this phase focus on creating a seamless transition for incoming faculty and their partners/families, if applicable.
- “Phase 6 | Reflect and Assess the Search” is a process supported by OAA to reflect on the hiring cycle each year and evaluate areas that may need improvement and additional support.

If the offer involves senior rank, the eligible faculty members vote on the candidates and also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on each candidate and on the appropriateness of the proposed rank or the appropriateness of prior service credit to the director. Appointment offers at the rank of Associate Professor, with or without tenure, or Professor, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

In the event that more than one candidate achieves the level of support required to extend an offer, the director decides which candidate to approach first. The details of the offer, including compensation, are determined by the director.

The institute will discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International Affairs. An [MOU](#) must be signed by faculty eligible for tenured positions who are not U.S. citizens or nationals, permanent residents, asylees, or refugees.

2 Professional Practice Faculty

Searches for professional practice faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the virtual or on-campus interview is on professional practice rather than scholarship.

3 Transfer from the Tenure Track

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

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

Transfers from a professional practice appointment to the tenure track are not permitted. Professional practice faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

4 Associated Faculty

The appointment of compensated associated faculty members follows a formal search following the [SHIFT](#) Framework, which includes a job posting in [Workday](#) (see Section IV.B above) and candidate interviews. The appointment is then decided by the director based on recommendation from the search committee.

The reappointment of all compensated associated faculty is decided by the director in consultation with the associate director and division chairs.

Compensated associated appointments are generally made for a period of one to three years, unless a shorter or longer period is appropriate to the circumstances.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in Ohio State ATI and are decided by the director in consultation with the associate director and division chairs.

Visiting appointments may be made for one term of up to three years or on an annual basis for up to three years.

Lecturer and senior lecturer appointments are made on an annual basis and rarely semester by semester. After the initial appointment, and if Ohio State ATI's curricular needs warrant it, a multiple year appointment may be offered.

All associated appointments expire at the end of the appointment term and must be formally renewed to be continued.

5 Courtesy Appointments for Faculty

Any Ohio State ATI faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track or professional practice faculty member from another Ohio State tenure-initiating unit. A proposal that describes the uncompensated academic service to this Ohio State ATI justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the director extends an offer of appointment. The director reviews all courtesy appointments every three years to determine whether they continue to be justified and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

V Annual Performance and Merit Review

Ohio State ATI follows the requirements for the annual performance and merit review as set forth in the [Policy on Faculty Annual Review and Reappointment](#), which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. According to the policy, the purposes of the review are to:

- Assist faculty in improving professional productivity through candid and constructive feedback and through the establishment of professional development plans
- Establish the goals against which a faculty member's performance will be assessed in the foreseeable future
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

The annual performance and merit review of an institute faculty member is the responsibility of the director. Annual performance and merit reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment.

Depending on their appointment type, the annual performance and merit review of faculty members is based on expected performance in teaching, scholarship, and service as set forth in the Ohio State ATI's guidelines on faculty duties, responsibilities, and workload; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. The review of faculty with budgeted joint appointments must include input from the joint appointment TIU head for every annual evaluation cycle. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on goals specific to the individual in the joint unit. Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.

The director is required (per Faculty Rule [3335-3-35](#)) to include a reminder in the annual performance and merit 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 Documentation

For their annual performance and merit review, faculty members must submit the following

documents to the director no later than February 1:

- Updated documentation of performance and accomplishments. In addition, probationary faculty must present the Office of Academic Affairs dossier outline, *[Policies and Procedures Handbook](#)*, Volume 3 (*recommended for associate professors*).
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. That documentation is described in Section VI of this document.

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 performance and merit review, as such solicitation places its recipient in an awkward position and produces a result that is unlikely to be candid.

B Probationary Tenure-track Faculty

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

The institute director will have a “face-to-face” meeting with the probationary faculty member as required as part of the annual review for every faculty member in the institute. The institute director will develop an annual performance review letter for each probationary faculty. If there is feedback on accuracy and content of the letter from the probationary faculty member, this will be considered by the director. The performance of every probationary tenure track faculty member is also reviewed annually by the promotion and tenure committee, and the faculty member will receive feedback from the promotion and tenure committee and the institute director’s letter. The faculty member will have the opportunity to respond with comments and is required to provide their signature on the director’s letter indicating they received the letter.

If the director recommends renewal of the appointment, this recommendation is final. The director’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 director’s letter (along with the faculty member’s comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member’s comments).

If the director recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-03](#)) 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 Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review (see section VI B), with the exception that external evaluations

are optional and the dean makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are solicited only when either the director 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 conducts a review of the candidate. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment.

The chair of the promotion and tenure committee forwards a written performance review, record of the vote of the eligible faculty, and summary of the meeting to the director, who 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 Ohio State ATI 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 director recommends renewal or nonrenewal.

2 Extension of the Tenure Clock

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. [Faculty Rule 3335-6-03 \(E\)](#) does likewise for reducing the probationary period. A faculty member remains on duty regardless of extensions or reductions to the probationary period, and annual reviews are conducted in every probationary year regardless of time extended or reduced. Approved extensions or reductions do not limit the institute's right to recommend nonrenewal of an appointment during an annual review.

C Tenured Faculty

Associate professors are reviewed annually by the director. The director and division chair conduct an independent assessment. The director will offer to meet with the faculty members to discuss their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the director. The director will offer to meet with the faculty members to discuss their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in education in both teaching and mentoring students; and outstanding service to Ohio State ATI, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest-ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If an associate professor or professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The director prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the

review.

D Professional Practice Faculty

The annual performance and merit review process for professional practice probationary and nonprobationary faculty is identical to that for tenure-track probationary and tenured faculty respectively, except that non-probationary professional practice faculty may participate in the review of professional practice faculty of lower rank.

In the penultimate contract year of a professional practice faculty member's appointment, the director 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.

There is no presumption of renewal of appointment.

E Associated Faculty

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the division chair who 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 division chair and director will decide whether or not to reappoint. Their recommendation on reappointment is final.

F Salary Recommendations

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

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

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

The director makes annual salary recommendations to the dean, who may modify them. The recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months.

In formulating recommendations, the director consults with the associate director and division chairs.

The director should proactively engage in an annual equity audit of faculty salaries to ensure that they are commensurate both within the institute and across the field or fields represented within it. Salary increases should be based upon these considerations.

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

Faculty who fail to submit the required documentation (see Section V-A above) for an annual performance and merit review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

VI Promotion and Tenure and Promotion Reviews

A Criteria and Evidence that Support Promotion

Faculty Rule [3335-6-02](#) provides the following context for promotion and tenure and promotion reviews:

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

1 Promotion to Associate Professor with Tenure

Faculty Rule [3335-6-02](#) provides the following general criteria for promotion to associate professor with tenure:

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

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

The award of tenure is an acknowledgement of excellence and future potential for preeminence. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to Ohio State ATI's academic mission at a high level for the duration of their time at the university.

Every candidate is held to a high standard of excellence in all aspects of performance. Above all, candidates are held to a very high standard of excellence in the areas central to their

responsibilities. For example, if a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities.

Excellence in teaching, scholarship, and service is moreover defined to include professional ethical conduct in each area of responsibility, consistent with the [American Association of University Professors' Statement on Professional Ethics](#). Below are core activities in each appointment area and examples that would demonstrate excellence in the core activity.

Teaching

Core Activity	Examples Demonstrating Excellence in Core Activity
Demonstrated continual growth in instructional skill and subject matter knowledge	<ul style="list-style-type: none"> Teaching portfolio demonstrating efforts to improve instruction Attendance at workshops or continuing education short courses on instruction Presentations on pedagogy and teaching at national or international conferences and/or invited events such as seminars Use, development, and support of modern information technologies in teaching Published works on pedagogical advancements and/or educational materials. Received summary of class comments and SEI reviews that demonstrate instructional mastery or improvements in instructional skill
Demonstrated ability to organize course materials and present class materials effectively, logically, and enthusiastically	<ul style="list-style-type: none"> Performed changes to or development of syllabi, examinations, laboratory exercises, case studies, field trips, problem sets and/or computer software that demonstrate up-to-date subject content. Cumulative SEI reports for every class that is consistent with the division average or above; reviews that are trending positively Positive peer evaluation documenting positive trajectory during review period regarding syllabi, in-class performance, assessment tools used, and student learning. Provided appropriate, timely, and thoughtful feedback to students Awards and honors for teaching and mentoring excellence National and international reputation for teaching and contribution to the professional area in teaching.

Improved curriculum through revision or new development of courses and/or academic programs.	<ul style="list-style-type: none"> Revise curriculum and courses to align with students learning outcomes Use assessment and feedback for course and curriculum revisions Create new curriculum in institute, college, or university Creation of learning tools Evaluation of revisions and improvements Publications or presentations on pedagogical improvements
Demonstrated ability to educate and mentor future scholars and industry leaders	<ul style="list-style-type: none"> Treat all students with respect and courtesy Encouraged independent thought and critical thinking Student positions after graduation Recruitment and mentoring of students from underrepresented groups Student awards; advisee awards Creation of innovative opportunities for student engagement
Coordination with disciplinary colleagues in the college on academic programs	<ul style="list-style-type: none"> Regular communication with disciplinary colleagues in the institute and the college for discussion and reviews of academic programs and concerns
Demonstrated high degree of professional ethics	<ul style="list-style-type: none"> High degree of ethical conduct in teaching and other appointment areas Upholds and promotes the college's principles of community Contributes to a positive and compelling work environment.

Scholarship of Research and Discovery; Teaching and Learning; Outreach and Engagement; and/or Creative Activities

Core Activity	Examples Demonstrating Excellence in Core Activity
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<p>Demonstrated focused scholarship that contributes to knowledge in an area of expertise within the context of the position and in relation to the institute's mission, scientific or other communities, and stakeholder needs.</p>	<ul style="list-style-type: none"> • A body of work consistent with standards of institute and aligned with expectations of the discipline that demonstrates creation of an independent scholarly program and contributes to the knowledge/outcomes area • Work is cited or shows evidence of influences of the work on others • Publication record that includes archival journal articles, conference papers and posters, monographs, books, book chapters, textbooks, magazine articles, on-line publication, software or programs, patents or inventions (not when peer-reviewed) • Grants, contracts, and other funding secured through foundations, state and federal agencies, industry partners or private funders. • White papers influencing policy or practice • Creative works pertinent to the candidate's professional focus – composition, curated exhibits, multimedia, radio/podcasts, video, social media, and websites • Consulting with industry and external partners
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Extension, Outreach, and Engagement

Core Activity	Examples Demonstrating Excellence in Core Activity
<p>Demonstrated engagement with stakeholders in industries and disciplines</p>	<ul style="list-style-type: none"> • Regular engagement with stakeholder groups through presentations and other forms of communication

	<ul style="list-style-type: none"> • Timely response industry concerns • Invited to present or consult with stakeholders
Demonstrated community engagement	<ul style="list-style-type: none"> • Documentation of activities with communities • Documentation of service to disadvantaged communities

Service

Core Activity	Examples Demonstrating Excellence in Core Activity
Demonstrated excellence in service	<p>Active participation and leadership in committees, boards, offices, working groups, or task forces of the institute, college, university professional societies, foundations, or stakeholder groups, including appointed and elected positions</p> <p>Contributions to the community through webinars, editorships, manuscript and grant reviews, grant panel service, advising student groups, meeting or workshop planning, and similar activities</p>

2 Promotion to Professor

Faculty Rule [3335-6-02](#) establishes the following general criteria for promotion to the rank of professor:

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

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure (see charts in Section VI.A.1), with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field.

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

In addition, as further specified by Faculty Rule [3335-6-02](#), assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another. Promotion should reflect the reality that (a) not all faculty members have the same distribution of assignments (b) not all faculty members will be able to contribute excellence equally in all evaluation dimensions; and (c) there is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively. Promotion to professor should be awarded not only to those faculty who have demonstrated impact in their scholarship of research and creative inquiry, teaching and learning, and service, but also to those who have exhibited excellence in the scholarship of leadership to make visible and demonstrable impact upon the mission of Ohio State ATI, college, and university.

3 Professional Practice Faculty

Promotion to Professional Practice Associate Professor. For promotion to professional practice associate professor, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of Ohio State ATI. Specific criteria in teaching and service for promotion to professional practice associate professor are similar to those for promotion to associate professor with tenure. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

Promotion to Professional Practice Professor. For promotion to professional practice professor, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to Ohio State ATI and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

4 Associated Faculty

Promotion to Adjunct Associate Professor and Adjunct Professor. The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track or professional practice faculty, as appropriate to the appointment, above.

Promotion to Associate Professor and Professor with FTE below 50%. The relevant criteria for the promotion of associated faculty members with tenure-track titles are those for the promotion of tenure-track faculty above.

Promotion to Senior Lecturer. Lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank as described in Section IV.A.3.

Promotion of Visiting Faculty. Visiting faculty members are not eligible for promotion.

B Procedures

Ohio State ATI's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule [3335-6-04](#) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#).

1 Tenure-Track and Professional Practice Faculty

a Candidate Responsibilities

The responsibilities of the candidate are as follows:

Candidates for promotion and tenure or promotion are responsible for submitting a complete, accurate dossier and indicating the APT document under which they wish to be reviewed. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to institute guidelines. Each of these elements is described in detail below.

- **Dossier**

Every candidate must submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates are fully responsible for the [contents of the dossier](#) and should not sign the Office of Academic Affairs [Candidate Checklist](#) without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by him/her/them.

The time period for teaching documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is more recent, to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated.

For scholarship documentation, a full history of publications and creative work should be included, as this information provides context to the more recent and relevant research record and/or demonstrates scholarly independence. Information about scholarship produced prior to the start date (for probationary faculty) or date of last promotion may be provided. Any such material should be clearly indicated. However, it is the scholarship performance since the start date or date of last promotion that is to be the focus of the evaluating parties.

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is more recent, to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated.

The complete dossier is forwarded when the review moves beyond the institute. The documentation of teaching is forwarded along with the dossier. The documentation of scholarship and service is for use during the institute's review only, unless reviewers at the college and university levels specifically request it.

- **Appointments, Promotion, and Tenure (APT) Document**

Candidates must indicate the APT document under which they wish to be reviewed. Candidates may be reviewed using Ohio State ATI's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion or, for professional practice faculty, their reappointment, whichever of these two latter documents is the more recent. However, for tenure-track faculty the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year.

If a candidate wishes to be reviewed under an APT other than the current approved version available [here](#), a copy of the APT document under which the candidate has elected to be reviewed must be submitted when the dossier is submitted to Ohio State ATI.

- **External Evaluations** (see also External Evaluations below)

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed by the director 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 director decides whether removal is justified. Under no circumstances should a candidate solicit evaluations from any party for purposes of the review.

b Promotion and Tenure Committee Responsibilities

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

- To review this APT 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 be denied a formal promotion review under Faculty Rule [3335-6-04A\(3\)](#) only once. Faculty Rule [3335-7-08](#) makes the same provision for nonprobationary professional practice faculty. 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.
 - A decision by the committee to permit a review to take place in no way commits the eligible faculty, the director, 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 responsibilities of the POD are described in Volume 3 of the Office of Academic Affairs [annual procedural guidelines](#).
 - **Late Spring:** Suggest names of external evaluators to the director. The external evaluators will be selected based on criteria described in Section VI.B.3 below.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal

review process begins.

- Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- Draft an analysis of the candidate's performance in teaching, scholarship, and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
- Revise the draft analysis of each case following the meeting of the full eligible faculty, 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 director.
- 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 director in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases since Ohio State ATI's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on Ohio State ATI's cases.

c Eligible Faculty Committee Responsibilities

The responsibilities of the members of the Eligible Faculty Committee 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.

d Director Responsibilities

The responsibilities of the director are as follows:

- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. For tenure-track assistant professors, the director will confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an [MOU](#) at the time of promotion with tenure.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the director, and the candidate. (Also see External Evaluations below.)

- To review faculty with budgeted joint appointments. The TIU head from the joint appointment unit must provide a letter of evaluation to the primary TIU head. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on impact of the work of the individual in the field of the joint unit.
- To make 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. At the request of the eligible faculty, the director will leave the meeting to allow open discussion among the eligible faculty members.
- **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 Ohio State ATI review process:
 - of the recommendations by the eligible faculty and director
 - of the availability for review of the written evaluations by the eligible faculty and director
 - of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the director, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the director, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline.
- 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 director's independent written evaluation and recommendation, to the TIU head of the other tenure-initiating unit by the date requested.

2 Procedures for Associated Faculty

Adjunct faculty and associated faculty with tenure-track titles for whom promotion is a possibility follow the promotion guidelines and procedures detailed in Section VI.B above, with the exception that the review does not proceed to the college level if the director's recommendation is negative (a negative recommendation by the director is final in such cases), and does not proceed

to the executive vice president and provost if the dean's recommendation is negative.

3 External Evaluations

In keeping with the national standing of The Ohio State University, ATI will generally obtain evaluations from faculty in programs that are nationally recognized in their field or subfields. Because of the multidisciplinary nature of ATI's mission and the high focus on instruction for its faculty, a specific list of institutions or even programs cannot be easily drawn for the Institute. However, the following principles will be followed in identifying external reviewers: the external reviewer will be 1) a distinguished expert in the field, as demonstrated by publications; national and international awards; prominence in professional organizations; and presence on editorial boards of major journals; 2) will be nationally or internationally known in the field related to a candidate's interdisciplinary or transdisciplinary projects; and/or 3) where relevant, will be a distinguished, award-winning scholar or artist who is not affiliated with an academic institution.

A conflict of interest for external reviewers exists if the reviewer is or has been to the candidate: a) a thesis, dissertation, or postdoctoral advisee/advisor; b) a research collaborator, which includes someone who has been a coauthor on a publication within the past 3 years, including pending publications and submissions; c) a collaborator on a project within the past 3 years, including current and planned collaborations; d) in a consulting/financial arrangement with the candidate within the past 3 years, including receiving compensation of any type (e.g., money, goods, or services); e) a relative or close personal friend; or f) in any relationship, personal or professional, that could reduce the reviewer's objectivity. Also excluded are reviewers from the same institution, or those who had previous employment in the same institution within the past 1months, or those who are being considered for employment at that institution.

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews and all adjunct faculty promotion reviews in cases where an adjunct faculty member has been involved in a significant amount of scholarship. External evaluations of scholarly activity and research are not obtained for professional practice or associated faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a professional practice or associated faculty member will be made by the director 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 is not a close personal friend, research collaborator, former academic advisor, or post-doctoral mentor of the candidate (see description of conflict of interest for external reviewers just above). Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. Ohio State ATI will solicit evaluations only from professors of national or international reputation as described above. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from distinguished associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the director 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 director, 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 Office of Academic Affairs nor Ohio State ATI requires that the dossier contain letters from evaluators suggested by the candidate.

Ohio State ATI follows the Office of Academic Affairs suggested format for letters requesting external evaluations. A sample letter for tenure-track faculty can be found [here](#). A sample letter for professional practice faculty can be found [here](#).

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

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

VII Promotion and Tenure and Reappointment Appeals

Only the candidate may appeal a negative tenure, promotion, or reappointment decision.

Performance that is adequate for annual reappointment may not be adequate for the granting of promotion or tenure with promotion for faculty on the tenure track or, in the case of professional practice faculty, for securing a reappointment.

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](#).

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.

VIII 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.

IX Procedures for Student and Peer Evaluation of Teaching

A Student Evaluation of Teaching

Use of the SEI is required in every course offered in Ohio State ATI. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

B Peer Evaluation of Teaching

The director oversees Ohio State ATI's peer evaluation of teaching process.

The Promotion and Tenure Committee is responsible for peer review of teaching with duties as follows:

- to review the teaching of probationary tenure-track and professional practice faculty at least once per year during each year of service before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.
- to review the teaching of tenured associate professors and nonprobationary professional practice assistant and associate professors at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six year period and of having at least four peer reviews of teaching before the commencement of a promotion review.
- to review the teaching of tenured professors and nonprobationary professional practice professors at least once every other year with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.
- to review, upon the director's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- to review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The director is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [Michael V. Drake Institute for Teaching and Learning](#).

Reviews conducted upon the request of the director or the faculty member focus on the specific aspects of instruction requested by the director or faculty member and may or may not include class visitations.

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has

identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.

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