Appointments, Promotion, and Tenure
Criteria and Procedures

for

The Ohio State University
Department of Animal 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 OAA Policies and Procedures Handbook; and other policies and procedures of the college and university 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 (4) years on the appointment or reappointment of the department chair

This document must be approved by the dean of the College of Food, Agricultural, and Environmental Sciences (hereafter, CFAES) and the Office of Academic Affairs (hereafter, OAA) before it may be implemented. It 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 the 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 the department's 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 this TIU and 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. Departmental Mission and Vision

The **mission** of the Department of Animal Sciences is to discover and communicate knowledge about animals (including microbes) and their products. The delivery of this mission is directed to the students of The Ohio State University (Ohio State), the citizens of Ohio and other parts of the world, the scientific community, stakeholders in the department and others who are interested in animals used for food production, fiber, recreation, companion purposes, and in conversion of biomass to energy.

The **vision** of the department follows four axes of excellence: (1) to be recognized as the premier provider in Ohio, and one of the top academic units in the nation, for an undergraduate education in animal sciences; (2) to be identified nationally and internationally as one of the most outstanding academic units for a graduate education in animal sciences; (3) to have a reputation in the State, nationally, and internationally for being a leader in developing new knowledge in the biological sciences for food producing animals, horses, and microbes related to anaerobic fermentation, animal health and food safety, and dissemination of this knowledge to the scientific community and the public; and (4) to facilitate the development of students who will be prepared to become leaders and effective citizens, and be knowledgeable about our world and the production of animals for food, fiber, recreation, companion purposes, and energy through conversion of biomass to energy.

The priority areas that guide the department to distinction in its extension, research and teaching programs; direct faculty and staff employment decisions, and in determine resource needs for the future of the department include: 1) Nutrition and the Microbiomes, 2) Growth and Development, 3) Health and Disease, and 4) Welfare and Human-Animal Interactions.

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 the department.

The department chair, the dean and assistant and associate deans of the CFAES, 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

- **Appointment Review**. For an appointment (hiring) review of an assistant professor, associate professor, or professor, the eligible faculty consists of all tenure-track faculty in the department.

- **Rank Review**. A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested.

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

- **Appointment Review**. For an appointment (hiring or appointment change from another faculty type) review of a professional practice assistant professor, professional practice associate professor, or a professional practice professor, the eligible faculty consists of all tenure-track and all professional practice faculty in the department.

- **Rank Review**. A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested and all non-

probationary professional practice faculty of equal or higher rank than the position requested.

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 non-probationary 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 non-probationary professional practice professors.

3. Research Faculty

Initial Appointment Reviews

- **Appointment Review**. For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, research associate professor, or research professor, the eligible faculty consists of all tenure-track and all research faculty in the department.

- **Rank Review**. A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested and all non-probationary research faculty of equal or higher rank than the position requested.

Reappointment and Promotion Reviews

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

- For the reappointment and promotion reviews of research associate professors and the reappointment and contract renewal reviews of research professors, the eligible faculty consists of all tenured professors and all non-probationary research professors.

4. Associated Faculty

Initial Appointment and Reappointment

- Initial appointment (hiring or appointment change from another faculty type) and reappointment of associated faculty members are decided by the department chair following a vote of the eligible faculty.

- In such cases, on initial appointment, eligible faculty are all those with professional practice titles and all tenure-track faculty members. For reappointments, the eligible faculty are all those with non-probationary professional practice titles and tenured faculty members of equal or higher rank than the candidate.

- Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary professional practice faculty and tenured faculty of equal or higher rank than the position requested) and prior approval of the college dean.

Promotion Reviews

- Associated faculty are eligible for promotion but not tenure if they have adjunct titles, tenure-track titles with service at 49% FTE or below, and lecturer titles.

  For the promotion reviews of associated faculty with adjunct titles, the eligible faculty shall be the same as for tenure-track, professional practice, or research faculty, as appropriate to the appointment, as described in Sections III.A.1, 2 or 3 above.

  For the promotion reviews of associated faculty with tenure-track titles, the eligible faculty shall be the same as for tenure-track faculty as described in Section III.A.1 above.

  The promotion of a lecturer to senior lecturer is decided by the department chair following a vote of the eligible faculty (all professional practice and all tenure-track faculty members).

5. Conflict of Interest

Search Committee Conflict of Interest

A member of a search committee must disclose to the committee and refrain from participation in any of the interviews, meetings, or votes that comprise the search process if the member:

- decides to apply for the position;
- is related to or has a close interpersonal relationship with a candidate;
- 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 the candidate.

Eligible Faculty Conflict of Interest

A member of the eligible faculty has a conflict of interest when he/she/they are or have been to the candidate:

- a thesis, dissertation, or postdoctoral advisee/advisor;

- a co-author on more than 50% of the candidate's publications since appointment or last promotion, including pending publications and submissions;
- a collaborator on more than 25% of projects since appointment or last promotion, including current and planned collaborations;
- in a consulting/financial arrangement with the candidate since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services) or is dependent in some way on the candidate's services; or
- 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 a promotion review of that candidate.

6. Minimum Composition

If the department does not have at least three (3) eligible faculty members who can undertake a review, the department chair, after consulting with the dean of the CFAES, will appoint a faculty member from another department within the college.

B. Promotion and Tenure Committee

The Promotion and Tenure Committee shall consist of five tenure-track faculty members holding the rank of professor. Three professors, each serving a three-year term, will be elected by the tenure-track, professional practice, and research faculty members in the department. The three positions are staggered such that one position is replaced each year. The department chair will appoint two (2) professors for a two-year term. The department chair shall use these appointments to achieve balance among faculty appointment distributions and faculty location. A faculty member may not be a candidate for election or appointment to the departmental Promotion and Tenure Committee for one year following completion of an appointed or elected term. Members of the Promotion and Tenure Committee shall elect the chair of the committee and the Procedures Oversight Designee (hereafter, POD) each year at the first meeting of the committee. An office associate designated by the department chair will serve as a resource person in meetings of the Promotion and Tenure Committee. This person along with the POD will help ensure that guidelines for the promotion and tenure process are followed and that all actions agreed upon by the committee are performed subsequent to the Promotion and Tenure Committee meetings. The department chair is a non-voting member of the committee.

When considering cases involving professional practice faculty the P&T Committee may be augmented by a non-probationary professional practice faculty member at the rank of associate professor or professor, depending on the case under consideration.

When considering cases involving research faculty the P&T Committee may be augmented by a non-probationary research faculty member at the rank of associate professor or professor, depending on the case under consideration.

C. Quorum

The quorum required to discuss and vote on all personnel decisions is a simple majority of the eligible faculty not on an approved leave of absence. Faculty on approved leave are not considered for quorum 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 department chair has approved an off-campus assignment.

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

D. Recommendation from the Eligible Faculty

Faculty must attend the meeting, participate fully in the review process, and be present for the entire length of the presentation and/or discussion of a review. Attendance can be by teleconference or videoconference. In all votes taken on personnel matters, only "yes" and "no" votes are counted. Abstentions are not votes; faculty members are expected to participate fully in the review and voting process.

Absentee ballots and proxy votes are not permitted, electronic voting is allowed.

1. Appointment

A positive recommendation from the eligible faculty for appointment is secured when a simple majority of the votes cast are positive.

- In the case of a joint appointment, the department must seek input from a candidate's joint-appointment department 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, and contract renewal is secured when a simple majority of the votes cast are positive.

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

IV. Appointments

A. Criteria

The department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department. 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 the department. No offer will be extended in the event that the search process does not yield one (1) or

more candidates who would enhance the quality of the department. Under the decision of the department chair, the search is either cancelled or continued, as appropriate to the circumstances. The department fully endorses the University's Shared Values.

The appointment of all compensated tenure-track, professional practice, research, 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

Tenure-track faculty members of the Department of Animal Sciences shall include all tenure-track faculty members with the titles of professor, associate professor, assistant professor, and instructor who serve on appointments totaling 50% or more of service to the department in Faculty Rule (3335-5-19). Members of the tenure-track faculty generally have a full range of responsibilities to the department, including teaching, research, outreach engagement, and other creative professional work; service to the department, college, and university; and public service to their academic expertise.

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. Procedures for appointment are identical to that of assistant professor. The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three (3) years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. An instructor must be approved for promotion to assistant professor by the beginning of the third year or the appointment will not be renewed, and the third year is the terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department's eligible faculty, the department chair, the dean of the CFAES, and the OAA. Faculty members should carefully consider if prior service credit is appropriate since prior service credit cannot be revoked once granted except through an approved request to exclude time from the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the department and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. For

individuals not recommended for promotion and tenure after the mandatory review, the seventh year will be the final year of employment.

Review for tenure prior to the mandatory review year is possible when the P&T Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the OAA, 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 or Professor. Appointment offers at the rank of associate professor or professor and offers of prior service credit require prior approval of the OAA.

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 (4) years is possible, on approval of the 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.

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

Offers to foreign nationals require prior consultation with the Office of International Affairs (hereafter, OIA).

2. Professional Practice Faculty

The department supports Professional Practice Faculty. These appointments exist for faculty members who focus principally on outreach education and the education needs of students within the department. Professional practice faculty members are expected to contribute to the department's outreach education, teaching, and research mission as reflected in student development and teaching. Professional practice faculty appointments are made in accordance with Faculty Rule 3335-7. Each new appointment must enhance, or have strong potential to enhance, the quality of the department.

Professional practice faculty of the Department of Animal Sciences shall include all faculty members with the titles of professional practice assistant professor, professional practice associate professor, or professional practice professor, with ranks based on the level of distinction attained by the candidate according to criteria detailed in this Appointments, Promotion, and Tenure document (hereafter, AP&T) and the University Faculty Rules (rule 3335-7).

Except for those appointed at the rank of instructor for whom a contract is limited to three years, the initial probationary contract for all other professional practice faculty members must be for a period of five (5) years, with reappointment considered annually. There is also no presumption that subsequent contracts will be offered; regardless of performance. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the initial penultimate year of the current contract period.

Second and subsequent contracts for professional practice assistant and associate professors must be for a period of at least three (3) years and for no more than five (5) years. Second and subsequent contracts for professional practice professors must be for a period of at least three (3) years and no more than eight (8) years.

Tenure is not granted to professional practice faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance.

During and until the end of the second and subsequent contract periods, professional practice faculty appointments may only be terminated for cause (see rule 3335-5-04 of the Administrative Code) or financial exigency (see rule 3335-5-02.1 of the Administrative Code) and the termination decision for either of these reasons shall result from procedures established by University Faculty Rules.

Professional Practice Assistant Professor. Appointments at the rank of professional practice assistant professor require clear evidence of experience in the practice of the discipline, knowledge of subject matter in the area of specialization, and the ability to share and transfer this experience and knowledge to students. Normally, the candidate will have a doctorate degree or terminal degree (e.g., PhD or DVM) in the relevant field of study. Evidence of ability to teach is highly desirable. Promise of excellence in service and professional accomplishment are also desirable.

Professional Practice Associate Professor or Professional Practice Professor. Appointment at the rank of professional practice associate professor or professional practice professor requires that the individual have an earned doctorate terminal degree (e.g., PhD or DVM) in the relevant field of study and meet, at a minimum, the department's criteria in teaching, professional practice and other service, and scholarship for promotion to these ranks.

External hires at the professional practice associate professor or professional practice professor levels must demonstrate the same accomplishments in teaching and service as persons promoted within the university.

3. Research Faculty

Research faculty members have fixed-term contract appointments as research assistant professor, research associate professor, or research professor. Appointment of research faculty entails one (1)- to five (5)-year appointments. The initial appointment is probationary, with reappointment considered annually. Contracts must explicitly state the expectations for salary support. Tenure is not granted to research faculty. There is also no presumption that subsequent appointments will be offered, regardless of performance (Faculty Rule 3335-7).

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 or 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.

External appointees at the research associate professor or research professor level will demonstrate the same accomplishments in research and service as persons promoted within the department.

4. 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 (3) years when a longer contract is useful for long-term planning and retention. Associated faculty may be reappointed.

Associated faculty are persons with adjunct titles, visiting titles, and lecturer titles; also, professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than 50% service to the university. Persons with tenure-track, professional practice, or research faculty titles may not hold associated titles. Persons holding associated titles are not eligible for tenure and may not participate in the promotion and tenure reviews of tenure-track, professional practice, or research faculty (Faculty Rule 3335-5-19). Associated faculty are not eligible for appointment to the graduate faculty. Associated faculty may serve on master's and doctoral examination committees upon petition by the Graduate Studies Committee of the student's program and approval by the Graduate School. Associated faculty may, under extraordinary circumstances, serve as an external co-advisor upon petition by the Graduate Studies Committee and approval by the Graduate School. Except for lecturer titles, associated faculty appointments may be compensated or uncompensated. Appointments are made for a maximum of three (3) consecutive years and may be renewed.

Adjunct Assistant Professor, Adjunct Associate Professor, or 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. The adjunct faculty rank is determined by applying the criteria for appointment of tenure-track, professional practice, or research faculty, as appropriate to the appointment. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track, professional practice, or research faculty, as appropriate to the appointment.

Assistant Professor, Associate Professor, or 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.

Lecturer. The title of lecturer shall be used for all compensated instructional appointments where other titles are not appropriate. Lecturers' responsibilities are limited to teaching as defined in Chapter 3335-6 of the Ohio Administrative Code. 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 (1) 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 (5) 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 (1) year.

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, or 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 (3) consecutive years.

5. 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, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty (60) or older with ten (10) or more years of service or at any age with twenty-five (25) or more years of service.

Faculty will send a request for emeritus faculty status to the department chair outlining academic performance and citizenship. The faculty eligible to conduct promotion reviews within the requestor's appointment type (see Section III.A.1-4) will review the application and make a recommendation to the department chair. The department chair will decide upon the request and, if appropriate, submit it to the dean of the CFAES. If the faculty member requesting emeritus status has in the ten (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 OAA 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.

6. Courtesy Appointments for Faculty

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

The addition of new tenure-track faculty members in the department will be determined based on priority needs in the department. The process for determining priority needs for new faculty members will be established by the strategic planning and visioning processes of the department. When vacancies occur, specific consideration will be given to voids that may have resulted in programs because of vacated positions, but due consideration must be prioritized toward future strategic needs.

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 OAA in advance. Search procedures must entail substantial faculty involvement and be consistent with the Policy on Faculty Recruitment and Selection.

Searches for tenure-track faculty proceed as follows:

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

The department chair appoints a search committee that will consist of faculty from within the department, a departmental staff member, a graduate student, and an external member (stakeholder or faculty member external to the department). 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 and highly qualified 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 department 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 must hold a meeting consistent with promotion and tenure procedures, and only those participating in that meeting can vote on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the department chair. Appointment offers at the rank of Associate Professor, with or without tenure, or Professor with tenure, and/or offers of prior service credit require prior approval of the OAA.

If more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair.

The department is advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the OIA. 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. Tenure-Track Faculty—Joint Appointments

If a tenure-track position with a 100% FTE appointment is split between the Department of Animal Sciences and another unit, some of the appointment procedures vary from those for other tenure track positions:

- The search committee will comprise members of both the department and the joint hiring unit.

- The position description must be approved by both the department and the joint hiring unit.

- Both units must approve the candidates to be interviewed and any to be offered the position.

The details of the appointment including identification of the tenure initiating unit; allocation of resources to salary and setup costs; recovery of indirect costs and student enrollment credit hours generated by the faculty member; provision of space and administrative support; faculty rights and responsibilities; evaluation; and problem resolution will be spelled out in a Memorandum of Understanding (hereafter, MOU) for approval and signed by both hiring units. Joint appointments require close coordination with the college(s) involved, as well as final approval of a MOU by the OAA.

3. Professional Practice Faculty

In accordance with procedures established for tenure-track faculty positions, professional practice faculty positions will also be based on priority needs in the department.

Professional practice faculty shall be engaged primarily in teaching activities related to courses or instructional situations involving professional skills and practicum supervision. 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 teaching.

4. Research Faculty

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate is not asked to teach a class.

5. Transfer from Tenure-Track

Tenure-track faculty may transfer to a professional practice or research appointment if appropriate circumstances exist. Tenure is lost upon transfer and transfers must be approved by the department chair, the dean of the CFAES, 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 and from a research appointment to the tenure-track are not permitted. Professional practice faculty members and research faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

6. 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 department chair based on recommendation from the search committee. The reappointment of all compensated associated faculty members is decided by the department chair following a vote of the eligible faculty.

Visiting appointments may be made for one (1) term of up to three (3) years or on an annual basis for up to three (3) years.

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

Uncompensated adjunct appointments may be proposed by any departmental faculty member. In general, the qualifications required for adjunct appointment shall be equal to those required for a tenure-track, professional practice, or research faculty position at the same rank. Candidates for appointments as adjunct faculty members should be nominated at a faculty meeting prior to the meeting at which a vote would be taken. The CV of an individual being

considered for adjunct appointment must be available for faculty member perusal at least ten (10) business days prior to the date of the faculty meeting at which the vote will be taken. The faculty member making the nomination for adjunct appointment will present the credentials of the candidate prior to a vote by the eligible faculty. The department chair then makes the appointment decision.

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

7. Courtesy Appointments for Faculty

Any departmental faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, professional practice, or research faculty member from another Ohio State tenure-initiating unit. Nomination and vote of courtesy faculty appointments generally proceed identically as for uncompensated adjunct faculty appointments. The department chair 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

The department 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 to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

Depending on their appointment type, annual reviews will be based upon teaching, outreach engagement, and scholarly activities as set forth in the department'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. Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions. The criterion of service through a faculty member's contribution to the general well-being and academic culture of the department and professional discipline is also a primary consideration of quality of performance.

The department chair and/or associate chair has the responsibility to conduct the annual review of performance of all faculty members using a comprehensive report of accomplishments prepared by the faculty member as the basis for the review. All faculty are given the opportunity to meet with the chair in person to discuss their annual review. These personal reviews shall be initiated annually by the chair

after January 1 and prior to the completion of the college budget process. The chair will communicate to each faculty member the evaluation results in writing and will counsel probationary faculty members about performance relative to department expectations. Faculty members may respond in writing to the department chair's written performance evaluation.

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.

The department chair 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 department chair no later than January 31:

1. Office of Academic Affairs dossier outline, Policies and Procedures Handbook, Volume 3 (*required for probationary faculty*)

2. Completed Annual Faculty Report, to include faculty goals

3. Updated CV, which will be made available to all faculty in an accessible place

4. Other requested information, such as impact statements

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.

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. The department chair will conduct the annual review for probationary tenure-track faculty, but the department P&T Committee chair and the faculty member's Mentoring Committee chair may be invited to the review session. The review should encompass the faculty member's performance in teaching, in scholarship, outreach engagement, and in service; evidence of continuing development will also be assessed. The department chair will provide a letter of evaluation and recommendations to the probationary faculty member that will become part of his/her/their permanent file. The probationary faculty member will have an opportunity to respond, in writing, to any documented

feedback regarding his/her/their performance. The letter will also become part of his/her/their permanent file.

The annual review process for probationary faculty members is intended to be instructive and candid as well as supportive and helpful. If the probationary faculty member considers the verbal and/or written observations and recommendations of the department chair to be unfair, unclear, or inconsistent, the faculty member can request a meeting with the P&T Committee in the absence of the department chair. Following that meeting, the P&T Committee shall meet with the department chair and after which the P&T Committee shall develop a summary of observations and recommendations. The P&T Committee chair will share these written observations and recommendations with the department chair. The department chair will then prepare a written evaluation that includes whether to renew the probationary appointment. The faculty member may provide written comments on the review. The department chair's annual review letter (along with the faculty member's comments, if received) is forwarded to the dean of the CFAES. In addition, the annual review letter (along with the faculty member's comments) will be added to his/her/their permanent file.

If the department chair recommends renewal of the appointment, this recommendation is final. If the department chair recommends non-renewal, the Fourth-Year Review process (Faculty Rule 3335-6-03) is invoked. Following completion of the comments process, the complete dossier is forwarded to the CFAES for review and the dean of the CFAES makes the final decision on renewal or non-renewal of the probationary appointment.

1. Fourth-Year Review

The fourth-year review of probationary tenure-track faculty shall follow the same process as the review for tenure and promotion at the department and college levels, with the exception that external letters of evaluation will not be solicited for fourth-year review candidates, and the dean (not the department chair) makes the final decision regarding renewal or non-renewal of the probationary appointment. Before reaching a negative decision or a decision contrary to the department's recommendation, the dean of the CFAES must consult with the college P&T committee.

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

The eligible faculty forwards a record of the vote and a written performance review to the department chair, 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 department's review, the formal comments process (Faculty Rule 3335-6-04) is followed and the case is forwarded to the CFAES for review, regardless of whether the department chair recommends renewal or non-renewal. The dean (not the department chair) then makes the final decision regarding renewal or non-renewal of the probationary appointment. In the event of non-renewal of appointment for an untenured faculty member, the faculty member will be notified in accordance with rule 3335-6-08 (Standards of notice) of the Administrative Code.

2. Extension of the Tenure Clock

There are three (3) circumstances under which probationary tenure-track faculty may obtain an extension of the tenure clock. These exclusions are intended to recognize that there are factors that can impact the ability of probationary faculty to meet the criteria for tenure within the probationary period (Faculty Rule 3335-6-03). A request to extend the probationary period for any of the reasons listed in paragraphs (D)(1)(a) to (D)(1)(c) of Faculty Rule 3335-6-03 must be made prior to April 1 of the year in which the mandatory review for tenure is scheduled to occur. Faculty Rule 3335-6-03 (E) sets for the conditions under which a probationary tenure-track faculty member may reduce 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 department's right to recommend nonrenewal of an appointment during an annual review.

C. Probationary Tenure-Track Faculty—Joint Appointments

Probationary faculty with less than 100% FTE appointments in the department will be evaluated in the same fashion as other probationary faculty, with any exceptions to this guideline detailed in the approved MOU for his/her/their appointment.

D. Tenured Faculty

All tenured faculty members shall have an annual review as outlined in the beginning of this section.

Associate professors and professors are reviewed annually by the department chair. The department chair and/or associate chair conducts an independent assessment; meets with the faculty member to discuss his/her/their performance, 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 department, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the department, 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 by professors exceed those for all other members of the faculty.

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

E. Professional Practice Faculty

The annual review process for professional practice probationary and non-probationary 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 initial penultimate contract year of a professional practice faculty member's appointment, the department chair must determine if 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 initial penultimate contract year to determine if 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.

For faculty in their second and subsequent appointment term, the individual must be informed by the department chair as to if a new appointment will be extended by the end of the penultimate year of each appointment period. A faculty member not being renewed must be informed according to the relevant standards of notice set forth in Faculty Rule 3335-6-08. An initial decision from the department chair to not reappoint the faculty member to another term requires a review by the eligible faculty like the initial penultimate year review. Additional guidelines are provided by the OAA Policies and Procedures Handbook.

F. Research Faculty

The annual review process for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty, respectively, except that non-probationary research faculty may participate in the review of research faculty of lower rank. The department chair will meet with the research faculty member to discuss his/her/their performance, future plans, and goals and will write a summary letter of evaluation of his/her/their research program. Research expectations will be consistent with expectations set for promotion of tenure-track faculty (publications, grant proposals funded, invited presentations and publications, editorial service, and other evidence of a quality research program) described later in this AP&T document.

In the initial penultimate contract year of a research faculty member's appointment, the department chair must determine if 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 initial penultimate contract year to determine if 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.

For faculty in their second and subsequent appointment term, the individual must be informed by the department chair as to if a new appointment will be extended by the end of the penultimate year of each appointment period. A faculty member not being renewed must be informed according to the relevant standards of notice set forth in Faculty Rule 3335-6-08. An initial decision from the department chair to not reappoint the faculty member to another term requires a review by the eligible faculty like the initial penultimate year review. Additional guidelines are provided by the OAA Policies and Procedures Handbook.

G. Associated Faculty

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the department chair, or designee. The department chair, or designee, prepares a written evaluation and meets with the faculty member to discuss his/her/their performance, future plans, and goals. The chair will decide whether or not to reappoint. The department chair's recommendation on reappointment is final.

H. Salary Recommendations

Salary increments are recommended annually to the dean of the CFAES by the department chair. Salary increases are based on the department chair's evaluation of each individual's productivity and contribution to the teaching, research, and service mission of the department assessed, in part, through the documentation submitted in advance of the review (see Section V.A above). Evaluation will emphasize the previous year's performance. However, in making annual salary adjustment recommendations for faculty members, the department chair may also consider the past several years' performance and/or the appropriateness of the salary level to the individual's overall record and in comparison to their peers. The department chair should proactively engage in an annual equity audit of faculty salaries to ensure that they are commensurate both within the department and across the field or fields represented in it. Salary increases should be based upon these considerations.

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

1. Procedures: Salary Decisions

Approximately one month before annual salary raises are recommended to the CFAES, the department chair shall rate the past performance and immediate potential for all faculty members and personnel holding salaried appointments in the department based on the annual reviews.

When the university announces the salary adjustment guidelines for the year, the department chair shall decide on an adjustment range appropriate to the year, match the rating scale to the university guidelines, and develop tentative salary adjustments. The department chair shall submit the recommended salary adjustments to the dean of the CFAES and make the case for all equity and excellence adjustments.

2. Documentation: Salary Decisions

A well-documented annual review is the primary process by which performance and achievement are evaluated for all faculty members and on which merit salary increase recommendations are made.

VI. Promotion and Tenure and Promotion Reviews

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.

The mission of the department and the necessity for positive interactions and contributions within its community of scholars cannot be achieved without proper faculty member citizenship and collegiality being demonstrated by members of this scholarly community (department, college, and university). This requires each faculty member to fairly meet assigned and unassigned responsibilities, and academic and professional service to create and enhance the academic and intellectual environment. All faculty members are expected to demonstrate respect and responsible behavior toward peers, staff, and students. All faculty members have the responsibility to articulate differing positions and opinions responsibly and tactfully so as not to be disruptive to the functioning of the department and/or irresponsible within the expected norms of civility.

It is the responsibility of the candidate to build a dossier that demonstrates the criteria for promotion and/or tenure. Thus, documentation of excellence should be based upon an individual's assigned work. Faculty are expected to develop a thematically focused program in relation to their distribution of effort in accordance with his/her/their appointments. The general performance criteria for promotion and tenure presented later in this document are to be considered reasonably flexible, such that performance in one area of teaching, outreach engagement, scholarly activity, and service may be balanced against another. However, for promotion to any rank above assistant professor, the candidate must demonstrate and document excellence in scholarly work commensurate with expectations for the rank sought. An unacceptable performance in any category of teaching, scholarly activities, and service will automatically preclude the candidate from receiving a recommendation for promotion.

A. Criteria and Evidence that Support Promotion

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 Ohio State.

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 the department's academic mission at a high level for the duration of their time at the university.

The department established very high standards for the awarding of tenure because a positive tenure decision has a profound impact on the quality and future of the department. Although criteria vary both according to departmental mission and the responsibilities of each faculty member, 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.

Criteria and documentation this department has identified as those supporting promotion to associate professor with tenure are as follows.

1. Teaching

Teaching is broadly defined to include didactic classroom, non-classroom and distance instruction, extension and continuing education, advising, and supervising or mentoring students or postdoctoral scholars (Faculty Rule 3335-6-02).

Effective teaching is an essential responsibility of faculty members in the department as appropriate to their appointment. The quality of teaching is an explicit factor in the evaluation of a faculty member's performance for merit salary increases, promotion, and tenure. Teaching embraces two distinct functions: 1) teaching on university campuses, and

2) outreach education, including Extension. Specific criteria exist for evaluation of the effectiveness of each function.

1a. Teaching on University Campuses

Teaching on university campuses includes undergraduate and graduate instruction in formal courses, seminars, and individual studies. Directing research of undergraduate and graduate students is both a teaching and research activity. Academic and career counseling of both graduate and undergraduate students is a teaching activity.

The following criteria will be used to evaluate effectiveness of teaching:

<table>
<tr><th colspan="2">TEACHING</th></tr>
<tr><th>Criteria</th><th>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</th></tr>
<tr><td>Demonstrated ability to logically organize and present instructional material.</td><td rowspan="3">Favorable peer evaluation of syllabi and class materials.
Favorable peer evaluation of instruction
Favorable peer evaluation on treatment of and interactions with students.
Use of multimodal techniques or approaches to stimulate student engagement and learning.</td></tr>
<tr><td>Demonstrated ability to deliver instructional materials with enthusiasm and conviction.</td></tr>
<tr><td>Demonstrated ability motivate students intellectually.</td></tr>
<tr><td>Developed new and effective instructional techniques and materials appropriate for the objectives and level of the course.</td><td rowspan="2">Changes to or development of syllabi, examinations, laboratory exercises, case studies, field trip agenda, problem sets, computer software demonstrate up-to-date thought on subject content.
Peer summary of class comments that demonstrate instructional content is up-to-date.
Favorable peer evaluation of syllabi, class evaluation items, and class materials that reflect up-to-date material that is appropriate for topic and audience.
Attended continuing education on topic or focus area and adopted new materials in class.
Completed teaching professional development programs.
Received recognition or awards for teaching excellence.
Authored teaching publications.</td></tr>
<tr><td>Demonstrated continuing growth in subject matter knowledge.</td></tr>
<tr><td>Advised and/or mentored undergraduate and graduate students.</td><td>Undergraduate Honors and/or non-Honors research and Individual Studies involvement.
Graduate research supervision and involvement.
Counseling and directing of graduate and undergraduate students in career development.
Promoting student research presentation.</td></tr>
</table>

2. Outreach Education

Outreach education refers to planned educational activities by department faculty members that are directed primarily toward students, clients, and stakeholders (users) outside of instruction in formal courses. These are persons, other than professional peers, who are not enrolled in formal courses for academic credit, and include the general educational activities conducted in conjunction with Ohio State Extension.

The following criteria will be used to evaluate effectiveness of Extension and outreach programming:

<table>
<tr><th colspan="2">Extension and Outreach Education</th></tr>
<tr><th>Criteria</th><th>Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met</th></tr>
<tr><td>Demonstrated an understanding of the needs of outreach clientele.</td><td rowspan="2">Evidence of Extension clientele, industry groups, and peer Extension collaborations.
Engagement in Extension programs of others.
Favorable peer evaluation of Extension work.
Favorable Extension evaluation (EEET) scores</td></tr>
<tr><td>Demonstrated ability to anticipate the needs of clientele and to respond with appropriate and scientifically based educational activities.</td></tr>
<tr><td>Developed new and effective Extension materials appropriate for the scope and objectives of the Extension program.</td><td rowspan="4">Development of Extension writing and publications (bulletins, fact sheets, technical reports, etc.).
Development of innovative Extension methods and curriculum materials.
Creative Extension works (multimedia, radio, websites, etc.).
Delivery of Extension presentations.
Favorable peer evaluation of Extension work.
Favorable Extension evaluation (EEET) scores.
Received recognition or awards for Extension excellence.</td></tr>
<tr><td>Contemporary command over the scientific information base and the applied subject matter, and the ability to consolidate and apply that knowledge for identifying and resolving problems for various clientele.</td></tr>
<tr><td>Creativity in subject matter development, methods of presentation, and the incorporation of new ideas.</td></tr>
<tr><td>Ability to communicate effectively with outreach clientele, both orally and in writing.</td></tr>
</table>

3. Research

Faculty members are expected to develop a research program that is appropriate to their appointment. The focus and scope should reflect professional interests within the context of departmental goals. Research is broadly defined to include discovery, scholarly and creative work, applied research, commercialization, and the scholarship of pedagogy (Faculty Rule 3335-6-02). An individual's research program must have a thematically focused program and direction on one or several major objectives. Faculty members are also encouraged to participate in team research and interdisciplinary research when appropriate. Local, national, and international recognition of an individual's research program is an important indicator of relevance and quality. Each faculty member with a research appointment must be a principal or co-principal investigator on an approved state or federal project. Faculty members are expected to seek research grants to foster their research programs. Although publications are the primary indicator of research productivity, other evidence that a faculty

member is growing professionally and interacting constructively with students and colleagues will be considered.

The following criteria will be used to evaluate research:

RESEARCH	
Criteria	**Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met**
Demonstrated a thematically focused research program that contributes to knowledge in area of expertise, is cited by others, advances the departments mission, and addresses societal needs.	• A body of work in high-quality peer reviewed journals that demonstrates an independent research program and contributes substantively to knowledge in the field. Both quality and quantity of publications is considered and the number of publications is expected to vary with appointment and discipline. • Publication record including conference papers and posters (both refereed and otherwise), books, book chapters, textbooks based on scholarship, patents and invention disclosures. • A body of published work with students and other research personnel (postdocs and/or visiting scholars). • Published abstracts of papers presented at scientific meetings and other non-peer-review papers are important evidence of productivity and communication of research results to appropriate clientele. However, their importance is secondary to peer-reviewed publications.
Demonstrated ability to obtain and to sustain research program funding.	• Sustained grant submissions to include external grants. • Obtained grants and contracts including foundations, federal agencies, major industry, or private sector – may be as Primary Investigator or Co-Investigator with documented focused contributions.
Developing or demonstrated national/international reputation in the candidate's field.	• Documented research accomplishments that have made a significant, internationally recognized, impact on the field. • Research presentations at national and international meetings and conferences. • Demonstrated a positive trend of citations in other researchers' publications.

4. Service

The department deems service to programs of the department, college, university, professional organizations, and industry to be the responsibility of each faculty member. The department recognizes that service will vary among faculty members, and for a faculty member over time. However, a faculty member is expected to engage in service activities of various types, including administrative, student, professional, and technical. Although service activities are important, teaching performance and research accomplishments will be accorded far greater weight in promotion and tenure considerations. Service should be documented and included in the annual comprehensive report of accomplishments for the previous calendar year.

4a. Definition of Service

Service includes work done or duties performed for others, including participation in faculty governance of the department, college, and university; administrative and student services at all levels within the university; and professional services to government, industry, and professional associations at local, state, national, and international levels.

4b. Service Categories

Each faculty member is expected to contribute to department, college, university, and professional society activities. In general, a faculty member would be expected to devote about 10% of professional time on service activities. Some service activities may require up to 20% of a faculty member's time. The amount of involvement and perceived importance of the service activities will be considered, and no hierarchy of importance for various activities is established.

The following criteria will be used to evaluate service:

SERVICE	
Criteria	**Examples of Evidence Demonstrating Impact and Showing Criteria Have Been Met**
Demonstrated excellence in service to the department.	• Active participation on departmental committees and task forces. • Leadership to departmental groups such as extension, commodity and/or discipline groups. • Service to academic programming including reviewing course and curriculum materials and peer evaluation of teaching. • Annual evaluations documented excellence in service to the department. • Recognition or awards for service.
Demonstrated service to the college and/or university, at any level.	• Active participation college and/or university committees and task forces. • Annual evaluations documented excellence in service to the department. • Recognition or awards for service.
Demonstrated high-quality service to students and student related activities.	• Advisement of student clubs or other student organizations. • Participation on advisory and examination committees of graduate students.
Demonstrated high-quality service to the profession.	• Peer review of internal and external manuscripts, research proposals, and fund-seeking proposals. • Participation on regional and national project writing committees.

	• Service as journal editor; an officer of a professional association; or a member of the following: editorial boards, committees, and task forces of professional associations; regional and national research, teaching, and extension committees; state and local task forces; state and local advisory committees; industry advisory committees; industry task forces; and boards of directors. • Providing expertise to clientele.

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 like those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field.

The department expects an individual ready for promotion to professor to be a role model for less senior faculty members, for students, and for the profession. While the individual seeking promotion should be assessed in relation to assigned responsibilities, exceptional performance in these responsibilities is required.

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 the department, 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 this department. Specific criteria in teaching and service for promotion to professional practice associate professor are like those for promotion to associate professor with tenure. Scholarship of teaching and learning is expected.

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 this department and to the profession, and production and dissemination of scholarship 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 extramural and/or commercial 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 extramural and/or commercial funding is required, along with demonstrated research productivity as a result of such funding.

5. Associated Faculty

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

Promotion to Associate Professor or 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.

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.4 of this AP&T document.

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

B. Procedures for Promotion and Tenure and Promotion

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 for tenure-track faculty, 3335-7-05 for professional

practice faculty, and 3335-7-32 for research faculty and in the OAA Policies and Procedures Handbook.

1. Tenure-Track, Professional Practice, and Research Faculty

Candidates for promotion and tenure or promotion are responsible for submitting a complete, accurate dossier and providing a copy of the AP&T under which they wish to be reviewed, if other than the department's current document. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to department guidelines.

1a. Candidate Responsibilities

Dossier:

- Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. 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.

- While the P&T 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 complete dossier, including the documentation of teaching (see below), is forwarded when the review moves beyond the department. The documentation of scholarship and service (see below) is for use during the department review only unless reviewers at the college and university levels specifically request it.
    - Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publications.

    - Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

Teaching

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

Examples of documentation include:

- Cumulative (not individual yearly) SEI reports (computer-generated summaries of SEIs prepared by the Office of the University Registrar) for every class.

- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details, including numbers are provided 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.

Teaching activities, as listed in the core dossier, including:

- Involvement in graduate/professional exams, theses, and dissertations, and undergraduate research.

- Mentoring postdoctoral scholars and researchers.

- Extension and continuing education instruction.

- Involvement in curriculum development.

- Awards and formal recognition of teaching.
- Presentations on pedagogy and teaching at national and international conferences.

- Adoption of teaching materials at other colleges or universities.

- Other relevant documentation of teaching as appropriate.

Research

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 or reappointment (for tenured or non-probationary faculty) 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.

Examples of documentation include:

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

- Documentation of grants and contracts received.

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

- Scholarship activities, as listed in the core dossier, including:

    - Documentation of creative works pertinent to the candidate's professional focus including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites.

    - Documentation of inventions, patents, disclosures, options, and commercial licenses.

    - List of prizes and awards for research, scholarly, or creative work.

Service

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion, reappointment, 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 or reappointment if it believes such information would be relevant to the review. Any such material should be clearly indicated.

Examples of documentation include:

- Involvement with professional journals and professional societies.

- Consultation activity with industry, education, or government.

- Clinical services.

- Administrative service to department.

- Administrative service to college.

- Administrative service to university and student life.
- Advising to student groups and organizations.
- Awards and prizes for service to profession, university, or department.
- Any available documentation (e.g., letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier.

Appointment, Promotion, and Tenure Document:

Candidates must indicate the AP&T document under which they wish to be reviewed. Candidates may submit the department's current AP&T document or, alternatively, they may elect to be reviewed under either (a) the AP&T document that was in effect on their start date, or (b) the AP&T document that was in effect on the date of their last promotion (or last reappointment in the case of professional practice and research faculty), whichever of these two latter documents is the most recent. However, the current AP&T document must be used if the letter of offer or last promotion, whichever is most recent, was more than ten (10) years before April 1 of the review year. The AP&T document must be submitted when the dossier is submitted to the department.

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 the department.

External Evaluations:

As noted above, if external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to department guidelines. The candidate may add no more than three (3) additional names but is not required to do so. The candidate may request the removal of no more than two (2) names, providing the reasons for the request. The department chair decides whether removal is justified.

1b. Promotion and Tenure Committee Responsibilities

The responsibilities of the department P&T 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 if 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 3335-6-04 only once. Faculty Rules 3335-7-08 and 3335-7-36 make the same provision for non-probationary professional practice and research faculty, respectively. 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 department chair, or any other party to the review to making a positive recommendation during the review itself.

- To provide administrative support for the promotion and tenure review process that occurs annually, in late spring through early autumn semester, as described below. (The exact timeline for the CFAES P&T Cycle, and the date by which documents must be finalized, are based upon final guidance from the OAA.)

    - **Early Spring:** Select from among its members a POD who will serve in this role for the following year. The POD cannot be the same individual who chairs the committee. The POD's responsibilities are described in the OAA annual procedural guidelines.

    - **Late Spring**: Suggest names of external evaluators to the department chair.

    - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with the 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/her/their 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 through the survey instrument and forward the completed written evaluation and recommendation to the department chair.

- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.

- Provide a written evaluation and recommendation to the department chair in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases because 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.

1c. Eligible Faculty Committee Responsibilities

The responsibilities of the members of the Eligible Faculty Committee are:

- Review, thoroughly and objectively, every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.

- Attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; participate in discussion of every case; and vote. To be eligible to vote a faculty member must be in attendance (present at the meeting or participating in the meeting by teleconference or videoconference) of the full case presentation and discussion.

1d. Department Chair Responsibilities

The responsibilities of the department chair are:

- Charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.

- Determine if a candidate is authorized to work in the United States and if a candidate now, or in the future, will require sponsorship for an employment visa or immigration status (The department must ensure that such questions are asked of all applicants in a non-discriminatory manner). For tenure-track assistant professors, the department chair will confirm that a candidate is 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**: Solicit external evaluations from a list that include names suggested by the department P&T Committee, the department chair, and the candidate. (Refer to External Evaluations in this AP&T document.)

- Solicit an evaluation from the department chair of any department in which the candidate has a joint appointment. The evaluation should be 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.

- Make each candidate's dossier available in an accessible place for review by the eligible faculty at least ten (10) business days before the meeting at which specific cases are to be discussed and voted.

- 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.

- 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 department chair will leave the meeting to allow open discussion among the eligible faculty members.

- **Mid-Autumn Semester:** Provide an independent written evaluation and recommendation for each candidate, within ten (10) business days following receipt of the eligible faculty's completed evaluation and recommendation.

- Meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.

- Inform each candidate in writing, after completion of the department review process, of the:

    - recommendations by the eligible faculty and department chair

    - availability for review of the written evaluations by the eligible faculty and department chair

    - opportunity to submit written comments on the above material, within ten (10) business days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form from OAA that the candidate returns to the department chair, indicating whether he/she/they expect to submit comments or not.

- Provide a written response to any candidate comments that warrant response for inclusion in the dossier.

- Forward the completed dossier to the CFAES office by that office's deadline.

- Receive the eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

2. Associated Faculty

Adjunct faculty and associated faculty with tenure-track titles follow the promotion guidelines and procedures detailed in Section VI.B of this AP&T document, with the exception that the review does not proceed to the college level if the department chair's recommendation is negative and does not proceed to the executive vice president and provost if the CFAES dean's recommendation is negative.

3. External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews and all research faculty promotion reviews. 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 department chair after consulting with the candidate and the department P&T Committee chair.

A minimum of five (5) credible and useful evaluations must be obtained from institutions with comprehensive representation of expertise that parallels the expertise of the department. Because of its multidisciplinary nature, the department cannot readily produce a specific list of institutions from which evaluators will be drawn. Evaluators' qualifications are generally judged based on their expertise and record of accomplishments. The department will solicit evaluations from professors who are nationally and internationally recognized in their field as demonstrated by publications; national and international awards; prominence in professional organizations; and presence on editorial boards of peer reviewed journals related to the candidate's field of research study. Whenever possible, external reviewers will hold the rank of Professor. In the case of an Assistant Professor seeking promotion to Associate Professor with tenure, a minority of the evaluations may come from Associate Professors. An evaluator may be in a department other than Animal Sciences but is affiliated with the disciplines of Animal Sciences and meets the standards for an external reviewer described above. Where relevant, an evaluator may be a distinguished, award-winning scholar not affiliated with an academic institution.

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 friend, research collaborator, former academic advisor, or post-doctoral mentor of the candidate (see description of conflict of interest for external reviewers below).

- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and or the usefulness of the letters received, 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.

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 12 months, or those who are being considered for employment at that institution.

As described above, a list of potential evaluators is assembled by the department P&T Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04 requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. If 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. A sample letter for tenure-track and research 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 department chair, who will decide what, if any, action is warranted (requesting permission from the 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, during the review process.

All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the department's written evaluations or brought to the attention of the OAA 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 or research 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

A student is to be given the opportunity to evaluate the quality of instruction provided in each course. The SEI was developed as the official, university-wide instrument for this purpose. Use of the SEI is required in every course offered in this department. Faculty members should choose a day late in the semester when attendance is likely to be high if providing in-class time for students to complete the SEI 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 considered for future teaching. Faculty may supplement the SEI with their own forms in any course offering. When included in the dossier, someone other than the candidate must summarize the student evaluations.

B. Peer Evaluation of Teaching

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

The department chair or designee will designate faculty members to conduct the annual peer review and evaluation of formal course teaching. Reasonable efforts are made to distribute service among the faculty from year to year to support and encourage attention to the quality of teaching in the department. A minimum of two (2) evaluators will be assigned to review a given course and at least one (1) peer evaluator will be chosen by the department chair or designated representative to

lead the evaluative process. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, this model will normally be followed for the lead reviewer. Reviews will include class visitations for courses that have an in-person meeting pattern.

Evaluators will be provided a copy of the departmental peer review of teaching document that provides guidelines for the structure and content of the evaluation. Evaluations should be comprehensive and should include, in addition to class visitation, review of the course syllabus and related instruction materials including exams. Peer reviewers should attend a minimum of two (2) different class sessions over the course of the semester.

The responsibilities of the Peer Review of Teaching faculty are to review:

- The peer review of teaching document annually and present suggestions for revision to the faculty.

- The teaching of probationary tenure-track and professional practice faculty at least once per year with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.

- The teaching of tenured associate professors and non-probationary professional practice 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 (6) year period and of having at least four (4) peer reviews of teaching before the commencement of a promotion review.

- Review, upon the department chair's request, the teaching of associated faculty with compensated instructional appointments and tenured professors and non-probationary professional practice professors.

- Review, upon the department chair's request, the teaching of any faculty not currently scheduled for reviewers. Such reviews are aimed at continual teaching improvement and may be triggered by low or declining student evaluations or other evidence of the need to aide in improving teaching.

- Review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the Michael V. Drake Institute for Teaching and Learning.

- Faculty with Extension responsibilities are expected to work with the Department Chair or their designee on an annual basis for requesting peer evaluation of outreach programs. Peer evaluation of Extension will be guided by the departmental peer review of Extension teaching document.

In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on course and individual teaching goals; knowledge, command, and clarity of subject; student engagement; and 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 evaluator should meet with the candidate to give feedback. In addition, the evaluators are to provide to department chair, or designee, a written summary letter copied to the candidate. The candidate may provide written comments on this letter and the reviewer may respond if he/she/they wishes. The letters are included in the candidate's promotion and tenure dossier.

In addition to peer observations, faculty can demonstrate teaching improvement and outcomes by taking advantage of programs and certifications offered by the Michael V. Drake Institute for Teaching and Learning.