

Appointments, Promotion, and Tenure  
Criteria and Procedures  
for  
The Ohio State University  
Department of Anthropology

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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 Chapter 3 of the Office of Academic Affairs [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 years on the appointment or reappointment of the department chair.

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

The faculty and the administration are bound by the principles articulated in 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 department 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. Department Mission

The mission of the Department of Anthropology is to achieve excellence in research, teaching, and service. Excellence in research and scholarship can be measured by attainment of national and international recognition, as evidenced by publications, citations, external funding, presentations, awards, and honors. Excellence in teaching can be measured by the attainment of local, national, and international recognition, as evidenced by pedagogical publications, awards, honors, and critical student outcomes. Excellence in service involves making available a high level of professional expertise, engagement, and experience to the public, including the university, the Columbus community, the State of Ohio, and the nation, as well as to scholarly professional organizations.

In scholarship, the Department of Anthropology is dedicated to producing and disseminating high-quality scholarship that is empirically grounded, theoretically informed, and ethically aware. In undergraduate teaching, the department works to engage students and encourage them to develop a lifelong interest in cultural and biological diversity from ancient times to the present day. In graduate education, its primary mission is to train future generations of anthropologists who adhere to the highest standards of scholarship and professional ethics. In service, the Department embraces OSU's mission to employ knowledge to improve the well-being of our state, regional, national, and global communities. The discipline of Anthropology has a special role to play in disseminating well-contextualized, evidence-based knowledge about cultural and biological diversity.

### **III. Definitions**

#### **A. Committee of the Eligible Faculty (CEF)**

The eligible faculty for all appointment (hiring), reappointment, contract renewal, promotion, or promotion and tenure reviews must have their tenure home or primary appointment in the department.

The department chair, the dean, divisional deans, assistant, and associate deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, promotion and tenure, or contract renewal.

The CEF considers and recommends on all fourth-year reviews and promotion and tenure decisions for probationary faculty. The chair of the Committee of the Eligible Faculty is normally the chair of the Promotion and Tenure Committee. The committee chair schedules and conducts meetings of the committee as needed to undertake and complete annual reviews of probationary faculty, fourth-year reviews, and consideration of faculty for promotion and tenure. All meetings of this committee should ideally include all the members of the committee.

#### **1. Tenure-Track Faculty**

##### **Initial Appointment Reviews**

For an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty in the department.

For an appointment (hiring or appointment change from another faculty type) review at senior rank (associate professor or professor), the eligible faculty consists of all tenure-track faculty in the department. A vote on the appropriateness of the proposed rank must then 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. Teaching Faculty**

##### **Initial Appointment Reviews**

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

For an appointment (hiring or appointment change from another faculty type) review at senior rank (associate teaching professor or teaching professor), the eligible faculty consists of all tenure-track and all teaching faculty in the department. A vote on the appropriateness of the proposed rank must then be cast by all tenured faculty of equal or higher rank than the position requested, and all nonprobationary teaching faculty of equal or higher rank than the position requested.

## **Reappointment, Contract Renewal, and Promotion Reviews**

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

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

### **3. Associated Faculty**

#### **Initial Appointment, Reappointment, and Contract Renewal**

Initial appointment (hiring or appointment change from another faculty type), reappointment, and contract renewal of associated faculty members are decided by the department chair in consultation with the Chair Advisory Committee.

Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary teaching 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 and 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 in consultation with the Chair Advisory Committee.

### **4. Conflict of Interest**

A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional relationship with the candidate (dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from an appointment or promotion review of that candidate.

### **5. Minimum Composition**

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

## **B. Promotion and Tenure Committee**

The department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of three tenured faculty from the Columbus campus. The committee's chair and membership are appointed by the department chair. The term of service is three years, with reappointment possible.

## **C. Quorum**

The quorum required to discuss and vote on all personnel decisions is one half (50%) 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 Committee of the Eligible Faculty**

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

Absentee ballots and proxy votes are not permitted. If circumstances prevent attendance at a meeting of the Committee of the Eligible Faculty, then participation and voting via video link are permitted.

### **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 TIU prior to their appointment.

### **2. Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when a 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 TIU prior to their reappointment, promotion and/or tenure, or contract renewal.

## **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 or more candidates who would enhance the quality of the department. The search is either cancelled or continued, as appropriate to the circumstances.

## **1. Tenure Track Faculty**

**Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department's eligible faculty, the department chair, the executive dean or designee, and the Office of Academic Affairs. Faculty members should carefully consider whether 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 7<sup>th</sup> year will be the final year of employment. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted once granted except through an approved request to exclude time from the probationary period.

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

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

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

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

## 2. Teaching Faculty

The Department of Anthropology supports teaching faculty. These non-tenure-track appointments exist for faculty members who focus principally on the education needs of students in the Department of Anthropology. Teaching 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.

Except for those appointed at the rank of instructor, for whom a contract is limited to three years, the initial contract for all other teaching faculty members must be for a period of five years and is probationary, with reappointment considered annually. Second and subsequent contracts for assistant and associate teaching professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for teaching professors must be for a period of at least three years and no more than a period of eight years. There is no presumption that subsequent contracts will be offered, regardless of performance. Promotion is not required for maintenance of the teaching faculty appointment. If the Department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. Tenure is not granted to teaching faculty. All teaching faculty undergo annual performance reviews.

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

**Assistant Teaching Professor.** An earned doctorate is the minimum requirement for appointment at the rank of Assistant Teaching Professor. Evidence of ability to teach is required.

**Associate Teaching Professor and Teaching Professor.** Appointment at the rank of associate teaching professor or teaching professor requires that the individual have an earned doctorate and meet, at a minimum, the department's criteria—in teaching, professional practice, and other service—for promotion to these ranks (see Section VI.A.3 of this document). Appointment to the rank of Teaching Professor requires production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

## 3. Associated Faculty

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

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

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

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

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.** Visiting faculty appointments may either be compensated or 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. They may not be reappointed for more than three consecutive years at 100% FTE.

#### **4. Regional Campus Faculty**

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

Regional campus criteria for the appointment of teaching faculty and associated faculty are the same as those for Columbus campus faculty in each of these categories.

#### **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, clinical/teaching/practice, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the department chair (regional campus dean for associated faculty on regional campuses) outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and nonprobationary associate teaching professors and teaching professors) will review the application and make a recommendation to the department chair, who will decide upon the request, and if appropriate submit it to the dean or designee. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or

policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-5-04](#), emeritus status will not be considered.

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

### **B. Procedures**

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

- recruitment of tenure-track, teaching, 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 on the Columbus campus**

A national search is required to ensure a pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Searches for tenure-track faculty proceed as follows:

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

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 search committee:

- Develops a search announcement for internal posting in the university Job Postings through the Office of Human Resources and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. The job description is reviewed and approved by the faculty in a general meeting.
- Screens applications and letters of recommendation to select a subset of candidates and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty approves the list (by a simple majority of affirmative votes), the chair asks for approval of the divisional dean to proceed with inviting candidates to campus or scheduling virtual interviews. On-campus or virtual interviews are arranged by the search committee chair, assisted by the department office. If the faculty does not agree, the department chair in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus or virtual interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the department chair; and the dean or designee. In addition, all candidates are required to make a presentation to the faculty and graduate students on their scholarship. All candidates interviewing for a particular position must follow the same interview format and relevant accommodations for disability/impairment should be provided.

Following completion of on-campus or virtual interviews, the eligible faculty meet to discuss perceptions and preferences, and to vote on which of the interviewed candidates to approach with an offer, and in what order.

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

In the event that 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 Office of International Affairs. The university will not grant tenure unless an individual is a (1) U.S. citizen or national; (2) permanent resident ("green card" holder); (3) asylee or refugee; or (4) an individual otherwise described as a "protected individual" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b). The department will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

## **2. Teaching Faculty on the Columbus Campus**

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

## **3. Transfer from the Tenure Track**

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

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

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

## **4. Associated Faculty on the Columbus Campus**

The appointment, review, and reappointment of all compensated associated faculty are decided by the department chair in consultation with the Chair Advisory Committee.

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

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department and are decided by the department chair in consultation with the Chair Advisory Committee.

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

Lecturer and senior lecturer appointments are usually made on 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.

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

## **5. Regional Campus Faculty**

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

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

Searches for regional campus teaching faculty are the same as those described above for tenure-track faculty.

Associated faculty are appointed by the regional campus associate dean, in consultation with the dean/director, department chair, program coordinators, and other relevant faculty members.

## **6. Courtesy Appointments for Faculty**

Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track or teaching faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to this department justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the department chair extends an offer of appointment. 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 annual reviews 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; and
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

Depending on their appointment type, the annual performance and merit review of faculty members is based on expected performance in teaching, scholarship, and/or service as set forth in the department's guidelines on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.

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

All teaching faculty undergo an annual performance review. The review of teaching faculty at the rank of assistant professor will focus primarily on teaching and service. Evidence of outward engagement/public scholarship is evaluated for teaching faculty at the rank of Associate Professor and Professor.

## **A. Documentation**

For their annual performance and merit review, tenure track faculty members must submit the following documents to the department chair no later than the final day of autumn semester classes:

- Office of Academic Affairs dossier outline (required for probationary faculty) or updated documentation of performance and accomplishments (nonprobationary faculty)
- updated CV, which will be made available to all faculty in an accessible place (all faculty)

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

Annual review materials to be submitted to the chair by teaching faculty consist of a CV, teaching evaluations (SEI scores, student comments, peer evaluations of teaching and /or other evaluations of teaching), one page narrative (maximum) describing activities over the past year and, where appropriate, an accounting of outward engagement/scholarship. Promotion to teaching professor requires evidence of scholarship; it is the responsibility of teaching professor candidates to maintain a current record of scholarship, in dossier or similar format, for reappointment and promotion reviews.

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 on the Columbus Campus**

Every probationary tenure-track faculty member is reviewed annually by the chair and by the Committee of Eligible Faculty. The tenured members only of the Chair Advisory Committee review the annual reports submitted by faculty and provide the Chair with assessments of faculty performance. Annual performance reviews not resulting in recommendations concerning promotion or tenure, but resulting in a recommendation for a continuing probationary appointment, include a meeting of the Promotion and Tenure Committee with the candidate to discuss the candidate's record of teaching, research, and service as presented in the dossier. After this meeting, the Promotion and Tenure Committee reports to the Committee of the Eligible Faculty who then vote via secret ballot on whether to renew the candidate's probationary appointment. This vote constitutes a recommendation to the department Chair.

The department Chair meets with the faculty member to discuss his or her performance, future plans, and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

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

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

## **1. Fourth-Year Review**

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the following exceptions: external evaluations are not solicited; the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment; and the dossier is reviewed and voted upon in the spring rather than in the autumn.

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

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

## **2. Exclusion of Time from Probationary Period**

Faculty Rule [3335-6-03](#) (D) sets forth the conditions under which a probationary tenure-track faculty member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs [Policies and Procedures Handbook](#).

## **C. Tenured Faculty on the Columbus Campus**

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

Professors are reviewed annually by the department chair, who meets with the faculty member to discuss his or her performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the department, the college, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest-ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If 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 on the review.

#### **D. Teaching Faculty on the Columbus Campus**

The annual performance and merit review process for teaching probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty respectively, except that non-probationary teaching faculty may participate in the review of teaching faculty of lower rank. The review of teaching faculty will include examination of performance in teaching and service to the department, college, university, and the discipline of anthropology. At the rank of Teaching Professor, the annual review process also considers scholarship (in the form of development of textbooks, websites, or other published curricular development or classroom materials; presentations at state or national conferences; news articles and other publications; or supporting the teaching-related research of tenure-track faculty members).

In the penultimate contract year of a teaching faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review generally proceeds in the same manner as the Fourth-Year review for tenure-track faculty. External letters are not solicited. The candidate will prepare a dossier focused on teaching, service, (and, in the case of Professors of Teaching Anthropology, scholarship) and will submit it to the chair. The eligible faculty will review the dossier and report to the chair with a vote as to whether to recommend a new contract. The chair will also provide a report and recommendation. There is no presumption of renewal of appointment.

#### **E. Associated Faculty on the Columbus Campus**

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 or her 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 or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department chair's recommendation on reappointment is final.

#### **F. Regional Campus Faculty**

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

The annual performance and merit review of regional campus teaching faculty is conducted on the regional campus. The dean/director will provide the department chair a copy of a teaching faculty member's annual performance and merit review letter.

The annual performance and merit review of regional campus associated faculty is conducted entirely on the regional campus.

#### **G. Salary Recommendations**

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

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

Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. The recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months. In formulating recommendations, the department chair consults with the Chair Advisory Committee. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate.

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

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

#### **VI. 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.

**A. Criteria and Documentation 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 The Ohio State University.

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

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

Excellence in teaching, scholarship, and service 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](#).

The accomplishments listed below in the areas of teaching, scholarship, and service are expected of faculty for promotion to associate professor with tenure. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

**Teaching**

High-quality teaching is an expectation for all faculty in the Department of Anthropology. For promotion to associate professor with tenure, a faculty member is expected to have:

- provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge

- demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm
- demonstrated the use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment
- engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process
- provided appropriate and timely feedback to students throughout the instructional process
- treated students with respect and courtesy

### **Scholarship**

For promotion to associate professor with tenure, a faculty member is expected to have:

- Published a body of work in high-quality peer-reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:
  - rigor of the peer-review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published scholarship more than unpublished scholarship, and original works more than edited works. Books and book chapters that are peer reviewed and published by well-regarded scholarly and commercial presses are preferred over those that are not.
  - empirical work, demonstrating the candidate's ability to conduct such work and to mentor future scholars, is preferred to synthetic work at this stage of career
  - While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment. Quantity of output must be evaluated with appropriate attention to the candidate's contribution of effort to co-authored publications. It is desirable that at least some of the publications in the dossier represent sole or primary authorship, as a demonstration of the ability to work independently.
- A record of applying to external sources for major research funding. Receipt of such funding, although desirable, is not a requirement for promotion to associate professor with tenure. However, candidates should be able to demonstrate that they are actively seeking extramural support. Competitive peer-reviewed funding is weighted more favorably than other types, since it serves as a quality indicator of research programs, and grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done. Research funding is a means to an end; funding that has not led to research productivity is disregarded in the review.
- A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.

- Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

### **Service**

For promotion to associate professor with tenure, a faculty member is expected to have:

- made substantive contributions to the governance of the department in a manner that facilitates positive contributions by others
- demonstrated the potential for useful contributions to the profession

### **2. Promotion to Professor**

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

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

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure, 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 pattern of performance over the period prior to review should yield a high degree of confidence that the candidate will continue to develop professionally, and continue to be highly productive.

The specific accomplishments used to support promotion to Professor in the Department of Anthropology will vary between individual faculty, and no single formula is appropriate in all cases. However, it is expected that all successful candidates will have a record of active involvement with graduate student teaching and advising of Ph.D. research and will have served as chair of a departmental committee or in some other role requiring leadership in service.

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 leadership to make visible and demonstrable impact upon the mission of the department, college, and university.

In the evaluation of untenured professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

### **3. Teaching Faculty**

**Promotion to Assistant Teaching Professor.** For promotion to assistant teaching professor, a candidate must have completed his/her doctoral degree and be performing satisfactorily in teaching, professional practice, and service.

**Promotion to Associate Teaching Professor.** For promotion to associate teaching 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 the Department of Anthropology. Specific criteria in teaching and service for promotion to associate teaching professor are similar to those for promotion to associate professor with tenure. Candidates for promotion must exhibit excellence in teaching at the undergraduate level. Excellence in teaching will be demonstrated by peer-review of teaching and assessment of student evaluation of instruction (SEI). Successful candidates will also be able to document contributions to departmental curriculum (such as design of new courses or programs, innovations in assessment of learning outcomes or advising practice, or enhancements in pedagogical expertise of graduate students and faculty). Candidates will demonstrate a history of service to the department and the university. Service to the department may take the form of membership in standing or ad hoc committees, student advising, recruitment activities, organization of teaching workshops, or other activities that advance the department's mission.

**Promotion to Teaching Professor.** For promotion to teaching 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 the Department of Anthropology and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

### **4. Associated Faculty**

**Promotion to Adjunct Associate Professor and Adjunct Professor.** The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track faculty above.

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

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

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

### **5. Regional Campus Faculty**

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus tenure-track faculty for promotion and tenure or promotion, the department will give greater emphasis to the

quality of teaching and service relative to scholarship. Recognizing that the character and quantity of scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the department nevertheless expects regional campus tenure-track faculty to establish a program of high-quality scholarly activity.

In evaluating regional campus teaching faculty and associated faculty for promotion, the department will use the same criteria as described above for the promotion of faculty in each of these categories.

## **B. Procedures**

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

### **1. Tenure-track and Teaching Faculty on the Columbus Campus**

#### **a) Candidate Responsibilities**

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

- Dossier**

Every candidate must submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

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

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

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

The review of teaching faculty will focus primarily on teaching and service.

#### **Teaching**

The time period for material 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 or the last five years, whichever is less, to present. The eligible faculty may allow a tenured or nonprobationary candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated. Examples of documentation include:

- cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class
- peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details, including number, provided in Section IX 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

### **Scholarship**

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 (for tenured or nonprobationary 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 work is favorably cited, grants and contract proposals that have been submitted)
- scholarship activities as listed in the core dossier including
- 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 to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated. Examples of documentation include:

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

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

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

Candidates must also submit a copy of the APT under which they wish to be reviewed. Candidates may submit the department's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. The APT document must be submitted when the dossier is submitted to the department.

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

Tenure-track candidates are responsible for reviewing the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified.

External evaluations are not sought for teaching faculty.

## **b) Promotion and Tenure Committee Responsibilities**

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

- To review this document annually and to recommend proposed revisions to the faculty.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
  - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
  - **Late Spring:** Suggest names of external evaluators to the department chair.
  - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
  - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
  - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
  - Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
  - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
  - Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure-initiating unit is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.

**c) Eligible Faculty Responsibilities**

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

- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to make a recommendation to the department chair as to whether it is appropriate for such a review to take place. Only professors 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 recommendation 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 decline to recommend a non-mandatory review.

- A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
- 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 review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

**d) Department Chair Responsibilities**

The responsibilities of the department chair are as follows:

- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. (The department must ensure that such questions are asked of all applicants in a nondiscriminatory manner.)
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. 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:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
  - of the recommendations by the eligible faculty and department chair
  - of the availability for review of the written evaluations by the eligible faculty and department chair

- of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the head of the other tenure-initiating unit by the date requested.

## **2. Procedures for Associated Faculty on the Columbus Campus**

Adjunct faculty and associated faculty with tenure-track titles for whom promotion is a possibility follow the promotion guidelines and procedures detailed in Section VI.B above, with the exception that the review does not proceed to the college level if the department chair's recommendation is negative, and does not proceed to the executive vice president and provost if the dean's recommendation is negative.

## **3. Procedures for Regional Campus Faculty**

Regional campus tenure-track faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The regional campus review focuses on teaching and service. The regional campus dean/director forwards the written evaluation and recommendation of the regional campus review to the department chair, from which point the review follows the procedures described for the Columbus campus faculty. A request to promote requires agreement by the dean/director and the department chair.

Regional campus teaching faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. Following the review, the dean/director consults with the faculty member's department chair. A request to promote follows the same procedures as tenure-track faculty except that external letters are not needed unless scholarship is a component of the assigned role.

Associated faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The decision of the regional campus dean/director is final.

## **4. 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. External evaluations are not sought for teaching faculty. External evaluations of scholarly activity and research are not obtained for associated faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for an associated faculty member will be made by the department chair after consulting with the candidate, the Chair Advisory Committee and the chair of the Promotion and Tenure Committee.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will only solicit evaluations from professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the 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. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate. The department follows the College of Arts and Sciences' suggested [format](#) for letters requesting external evaluations.

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

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

## VII. Appeals

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

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

## **VIII. Seventh-Year Reviews**

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

## **IX. Procedures for Student and Peer Evaluation of Teaching**

### **A. Student Evaluation of Teaching**

Use of the Student Evaluation of Instruction (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 s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

### **B. Peer Evaluation of Teaching**

The Chair of the Promotion and Tenure Committee oversees the department's peer evaluation of teaching process in collaboration with the department chair. In assigning peer review duties, reasonable efforts should be made to distribute service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible. Only tenured faculty may serve as reviewers.

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

- to review the teaching of probationary tenure-track faculty, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned. Assistant professors are required to have a minimum of five peer evaluations of teaching from the probationary period, including at least one from each of the first two years of service and at least two from the remainder of the probationary period.
- to review the teaching of tenured associate professors at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six year period and of having at least two peer reviews of teaching before the commencement of a promotion review.
- To conduct an annual peer evaluation of teaching as part of the annual performance review of all teaching faculty. This review will follow a teaching rubric developed by Chair's Advisory Committee and will include in-class observation, review of SEI's and student comments, review of Carmen/Canvas materials, review of outward engagement, etc.
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report

is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the Michael V. Drake Institute for Teaching and Learning.

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

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy.

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