

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11

**AUSTIN E. KNOWLTON SCHOOL OF ARCHITECTURE**

**CRITERIA AND PROCEDURES FOR**

**APPOINTMENTS, PROMOTION, AND TENURE**

**August 22, 2019; OAA Approved September 19, 2019**

**OAA Approved: May 6, 2022**

**OAA Revision Approved: August 17, 2023**

**OAA Revision Approved: September 2, 2025**

## Contents

I. Preamble .....	1
II. School Mission .....	1
III. Definitions .....	2
A. Committee of the Eligible Faculty .....	2
1. Tenure-track Faculty.....	2
2. Professional Practice Faculty .....	3
3. Research Faculty .....	3
4. Associated Faculty .....	4
5. Conflict of Interest.....	5
6. Minimum Composition .....	5
B. Promotion and Tenure Committee.....	5
C. Quorum .....	5
D. Recommendation from the Committee of the Eligible Faculty .....	6
IV. Appointments .....	6
A. Criteria .....	6
1. Tenure-track Faculty.....	7
2. Professional Practice Faculty .....	8
3. Research Faculty .....	9
4. Associated Faculty .....	9
5. Emeritus Faculty.....	10
6. Courtesy Appointments for Faculty.....	10
7. Joint Appointments .....	11
B. Procedures.....	11
1. Tenure-track Faculty.....	11
2. Professional Practice Faculty.....	13
3. Research Faculty .....	13
4. Transfer from the Tenure-track.....	13
5. Associated Faculty .....	14
6. Joint Appointments .....	14
7. Courtesy Appointments for Faculty.....	14
V. Annual Performance and Merit Review Procedures.....	15
A. Documentation.....	15
B. Probationary Tenure-track Faculty.....	16
1. Fourth-Year Review .....	16
2. Exclusion of Time from Probationary Period.....	17
C. Tenured Faculty .....	17
D. Professional Practice Faculty .....	18
E. Research Faculty.....	19
F. Associated Faculty .....	20
G. Salary Recommendations .....	20

1	<b>VI. Promotion and Tenure and Promotion Reviews .....</b>	<b>21</b>
2	<b>A. Criteria and Documentation that Support Promotion .....</b>	<b>21</b>
3	<b>1. Promotion to Associate Professor with Tenure .....</b>	<b>21</b>
4	<b>2. Promotion to Professor .....</b>	<b>24</b>
5	<b>3. Professional Practice Faculty .....</b>	<b>26</b>
6	<b>4. Research Faculty .....</b>	<b>27</b>
7	<b>5. Associated Faculty .....</b>	<b>27</b>
8	<b>B. Procedures.....</b>	<b>28</b>
9	<b>1. Tenure-Track, Professional Practice, and Research Faculty.....</b>	<b>28</b>
10	<b>a. Candidate Responsibilities .....</b>	<b>28</b>
11	<b>b. Promotion and Tenure Committee Responsibilities .....</b>	<b>31</b>
12	<b>c. Eligible Faculty Responsibilities .....</b>	<b>32</b>
13	<b>d. Section Head Responsibilities .....</b>	<b>32</b>
14	<b>e. School Director Responsibilities .....</b>	<b>33</b>
15	<b>2. Procedures for Associated Faculty .....</b>	<b>34</b>
16	<b>3. External Evaluations .....</b>	<b>34</b>
17	<b>VII. Appeals .....</b>	<b>35</b>
18	<b>VIII. Seventh-Year Reviews .....</b>	<b>36</b>
19	<b>IX. Procedures for Student and Peer Evaluation of Teaching .....</b>	<b>36</b>
20	<b>A. Student Evaluation of Teaching .....</b>	<b>36</b>
21	<b>B. Peer Evaluation of Teaching .....</b>	<b>36</b>
22	<b>C. SEI Framing Statement .....</b>	<b>37</b>
23		



## I. Preamble

This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs [Policies and Procedures Handbook](#); and other policies and procedures of the college and university to which the school and its faculty are subject.

If those rules and policies change, the school 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 school Director.

This document must be approved by the Dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the school's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for school faculty and jointly appointed faculty appointments, and for 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 school and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to school 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 school 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. School Mission

The mission of the Austin E. Knowlton School of Architecture is to achieve and maintain internationally recognized excellence in education, scholarship, and creative activity; shape and serve the professions of architecture, landscape architecture, and city and regional planning; contribute to the intellectual and creative purposes of the college and university; and promote and impact the quality of design and planning locally and globally.

The school balances its educational and professional mandate by deploying design and planning as modes of intellectual inquiry and responsible action. At the undergraduate level, design and planning shift a liberal arts education from one of passive reception to active engagement. At the graduate level, design and planning are the critical interface between theory and technique whereby students develop the conceptual breadth and technical depth to shape a profession's agenda and evolution. In the scholarship of its faculty, as well, design and planning build a knowledge base and project potential futures. The school's faculty, students, and alumni are a force for the expansion of knowledge and innovative practice.

In its mission, the Knowlton School aligns with the university's legacy of contributing to knowledge and addressing society's needs. The school's design and planning discourse advances solutions to issues facing contemporary society. It incorporates the arts, humanities, and sciences in its curricula, while providing design and planning courses to students in other majors. These offerings are supplemented

by public lectures, exhibitions and symposia, publications, and distinguished visiting practitioners and scholars. All of these activities contribute to knowledge, the critique and evolution of contemporary culture, its institutions, and the quality of the built environment.

School faculty, working with other academic and administrative offices of the university and others, provide expertise to foster design and planning excellence on the campus and the world. Faculty and student creative work propose solutions to design and planning problems, and faculty scholarship offers knowledge for design and planning decisions. Frequently, these activities take place in partnership with the potential users, and they typically link local and global concerns. The school's publications and electronic communications disseminate all these efforts to a broad, international constituency.

### **III. Definitions**

The Knowlton School includes the Sections of Architecture, Landscape Architecture, and City and Regional Planning. The Director in concert with Section Heads leads the school.

#### **A. Committee of the Eligible Faculty**

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 school.

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

#### **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 school.
- 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 school. 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**

- For an appointment (hiring or appointment change from another faculty type) review of a professional practice assistant professor, the eligible faculty consists of all tenure-track faculty and all professional practice faculty in the school.
- For an appointment (hiring or appointment change from another faculty type) review at senior rank (professional practice associate professor or professor), the eligible faculty consists of all tenure-track and all professional practice faculty in the school. 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 nonprobationary professional practice 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 professional practice assistant professors, the eligible faculty consists of all tenured associate professors and professors, and all nonprobationary professional practice associate professors and professors.
- For the reappointment, contract renewal, and promotion reviews of professional practice associate professors, and the reappointment and contract renewal reviews of professional practice professors, the eligible faculty consists of all tenured professors, and all nonprobationary professional practice professors.

## **3. Research Faculty**

### **Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, the eligible faculty consists of all tenure-track faculty, all professional practice faculty, and all research faculty in the school.
- For an appointment (hiring or appointment change from another faculty type) review at senior rank (research associate professor or research professor), the eligible faculty consists of all tenure-track, all professional practice faculty, and all research faculty in the school. 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, all nonprobationary professional practice faculty of equal or higher rank than the position requested, and all nonprobationary research faculty of equal or higher rank than the position requested.

### **Reappointment and Contract Renewal Reviews**

- For the reappointment and contract renewal reviews of research assistant professors, the eligible faculty consists of all tenured associate professors and professors and all nonprobationary research associate professors and professors.

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

#### **Promotion Reviews**

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

### **4 Associated Faculty**

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

- Initial appointment (hiring or appointment change from another faculty type), of associated faculty members is decided by the relevant section head in consultation with the school director based on recommendation from the search committee.

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.

The reappointment of associated faculty is decided by the relevant section head in consultation with the school director.

#### **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, lecturer titles, and visiting 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.

For the promotion reviews of associated clinical faculty, the eligible faculty shall be the same as for professional practice faculty as described in Section III.A.2 above.



For the promotion review of a lecturer to senior lecturer, the eligible faculty shall be all tenure-track and nonprobationary professional practice faculty at the rank of associate professor and professor.

## **5. Conflict of Interest**

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

## **6. Minimum Composition**

If the school does not have at least three eligible faculty members who can undertake a review, the school Director, after consulting with the Section Heads and the Dean, will appoint a faculty member from another department within the college.

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

The school has a Promotion and Tenure Committee that assists the eligible faculty in managing promotion and tenure issues. The Promotion and Tenure Committee has five to six tenured faculty members, including at least two professors, with no more than two professors coming from the same section. The school Director in consultation with the Section Heads appoints all members of the Promotion and Tenure Committee annually, assigns the roles of Chair and Procedures Oversight Designee (the Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines), and may add more non-probationary committee members to cover the school's varied scholarship. The Chair of the Promotion and Tenure Committee shall serve as Chair for no more than four consecutive years.

## **C. Quorum**

A quorum of the eligible faculty is required for:

- appointments of tenure-track, professional practice, research faculty,
- promotion and tenure reviews of tenure-track, professional practice, and research faculty,
- tenure reviews of probationary faculty of senior rank,
- fourth-year reappointment reviews of probationary tenure-track faculty,
- reappointment reviews in the penultimate contract year for probationary professional practice and research faculty if Director recommends nonrenewal, and
- consideration of the appropriateness of appointments at senior rank for tenure-track, professional practice, and research faculty.

The minimum number of faculty required to achieve a quorum necessary for a meeting is 60% of the applicable eligible faculty (including those participating by teleconference but excluding those with a conflict of interest). 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 school director has approved an off-campus assignment.

The school strongly encourages informed participation of all eligible faculty during P&T deliberations and arranges these meetings to accommodate faculty schedules to the greatest extent possible.

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

Eligible faculty will review the candidate's dossier and vote, by secret ballot, on the candidate. In all cases, a positive recommendation from the eligible faculty is secured when 60% of the votes cast are positive.

For appointment, reappointment, promotion and tenure, and contract renewal cases for faculty with partial FTEs in Knowlton and another department, a positive recommendation is determined by the TIU holding the primary (majority) appointment and defined by the APT document of that TIU.

For joint hires, a representative of the secondary TIU may be present in the discussion of the Committee of Eligible Faculty in the primary TIU as a resource in understanding aspects of a candidate's dossier that might not conform to the primary TIU model or that might reflect a hiring MOU concerning the candidate's responsibilities.

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.

Absentee ballots and proxy votes are not permitted. Only eligible faculty members present at the meeting or participating in it by teleconference may vote ([OAA Policies and Procedures Handbook](#) 3.6.4).

### **IV. Appointments**

#### **A. Criteria**

The school is committed to making only faculty appointments that enhance or have strong potential to enhance the quality and influence of the school. 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 school. No offer will be extended if the search process does not yield one or more candidates who would enhance the quality of the school. In such cases, the search is either cancelled or continued, as appropriate to the circumstances.

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. A formal review and selection process, including interviews using pre-designed evaluation rubrics, is 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

**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 terminal degree is a Masters in the Sections of Architecture and Landscape Architecture or an allied discipline, while the terminal degree is a PhD in City and Regional Planning or an allied discipline. Procedures for appointment are identical to that of assistant professor. The school 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. 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 school's eligible faculty, the school Director, the Dean, and the Office of Academic Affairs. Faculty members will 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.** A terminal degree is typically the minimum requirement for appointment at the rank of Assistant Professor. There must be evidence of potential for high-quality scholarship, high-quality teaching, and high-quality service to the school. Appointment at the rank of Assistant Professor is always probationary, with mandatory tenure review in the sixth year of service.

Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee (or the TIU of the primary appointment in the case of jointly appointed faculty) determines such a review to be appropriate (see Section VI.B.2). The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted except through an approved request to exclude time from the probationary period.

**Associate Professor and Professor.** Appointment offers at the rank of Associate Professor or Professor and offers of prior service credit require prior approval of the Office of Academic Affairs. Appointment at the rank of associate professor requires that the individual, at a minimum, meet the school's criteria in teaching, scholarship, and service for promotion to that rank (Section VI) (or primary appointment TIU for jointly appointed faculty). In the case of jointly appointed faculty, the criteria of the primary appointment TIU are those that must be met. In cases where the candidate does not have prior experience teaching or advising graduate students, teaching ability will be defined by the criteria set forth for the appointment of tenure-track Assistant Professors. In all cases the candidate must have demonstrated superior scholarship through national recognition.

Appointment at the rank of associate professor normally entails tenure. A probationary appointment at the rank of associate professor is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Dean and Office of Academic Affairs, with review for tenure (but not necessarily promotion) occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

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

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

## **2. Professional Practice Faculty**

The initial contract for all professional practice faculty members must be for a period of five years. The initial contract is probationary, with reappointment considered annually. Second and subsequent contracts for professional practice assistant and associate professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for professional practice professors must be for a period of at least three years and no more than eight years. Tenure is not granted to professional practice faculty. There is no presumption that subsequent contracts will be offered, regardless of performance. The procedures on appointment must be consistent with those set out in the [Faculty Annual Review and Reappointment Policy, III, A-G](#).

Professional Practice faculty in the school are referred to as Professional Practice Assistant Professor, Professional Practice Associate Professor, or Professional Practice Professor. Distinctions among ranks are based on the level of distinction attained by the candidate. Professional Practice faculty may participate and vote in matters of governance and committee service in the school and their respective sections. However, they cannot participate or vote on promotion and tenure matters of tenure-track faculty or the reappointment or promotion of research faculty.

Professional Practice faculty appointments exist for faculty members who focus principally on the education needs of students in the school or college. Professional Practice faculty members are expected to contribute the school's research and education mission as reflected in undergraduate and graduate program 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 school.

**Professional Practice Assistant Professor.** The successful candidate must provide clear evidence of capability in his/her area of specialization and experience in the practice of the discipline. The successful candidate must possess the background and ability to share and transfer knowledge to students. Normally, the successful candidate will have an earned professional degree in his/her relevant field. Professional publications and teaching experience are helpful but not required.

**Professional Practice Associate Professor and Professional Practice Professor.** The successful candidate must meet or exceed the school criteria for promotion to these ranks (see Section VI.A.4). In the case of a candidate who has no previous appointment as a Professional Practice Assistant Professor or tenure-track Assistant Professor, the candidate must have demonstrated superior proficiency in the practice of the discipline, as evidenced by the candidate's body of work and

reference letters, and must possess the background and ability to share and transfer knowledge to students.

### 3. Research Faculty

Appointment of research faculty entails a one- to five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is no presumption that subsequent contracts are offered, regardless of performance. The procedures on appointment must be consistent with the [Faculty Annual Review and Reappointment Policy, III, A-G](#).

Research faculty in the school are referred to as Research Assistant Professor, Research Associate Professor, or Research Professor. Distinctions among ranks are based on the level of distinction attained by the candidate. Research faculty may participate and vote in matters of governance and committee service in the school and their respective sections. However, they cannot participate or vote on promotion and tenure matters of tenure-track or professional practice faculty.

**Research Assistant Professor.** Appointment at the rank of Research Assistant Professor requires that the individual have a terminal degree and a record of high-quality research.

**Research Associate Professor and Research Professor.** Appointment at the rank of Research Associate Professor or Research Professor requires that the individual have a terminal degree and meet, at a minimum, the school's criteria for promotion to these ranks (see Section VI.A.5).

### 4. Associated Faculty

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

Such appointments expire on or before a date specified by the College of Engineering in the fiscal year in which the appointment commences. Associated faculty at .5 FTE and above may participate in discussions and vote on non-personnel matters, but are not members of the eligible faculty for new appointments, reappointments, promotion and tenure and reappointment reviews of tenure-track, professional practice and research faculty.

**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 school, such as teaching a course, for which a faculty title is appropriate. 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 professional degree or equivalent 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 or promotion. The Lecturer position is to be used only when a specific instructional need is identified in the school.

**Senior Lecturer.** Appointment as Senior Lecturer requires that the individual have, at a minimum, a professional degree in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a terminal degree or equivalent and at least five years of teaching experience at above .5 FTE with documentation of high quality. Senior Lecturers are not

eligible for tenure or promotion. Reviews and raise considerations of Senior Lecturers follow standard review and raise procedures with an emphasis on teaching and, where applicable, service.

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated or uncompensated. 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. Associated faculty and faculty joint appointees with FTEs below 50% in the school follow standard review and raise procedures with an emphasis on teaching and, where applicable, service.

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

## **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 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 school director outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and nonprobationary practice associate professors and professors) will review the application and make a recommendation to the school director, who will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-5-04](#), emeritus status will not be considered.

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 academic involvement in the school by a tenure-track, professional practice, or research faculty member from another unit at Ohio State warrants a 0% FTE (courtesy) appointment. Appropriate involvement includes scholarship collaboration, graduate student advising, and/or teaching. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

## 7. Joint Appointments

Joint appointments are created to leverage a faculty member's unique expertise to advance the mission areas of the academic units involved and promote cross-disciplinary collaboration. To establish a joint faculty appointment, a [memorandum of understanding \(MOU\)](#) is developed by all affected TIUs, centers, and/or institutes. The MOU will clearly define the distribution of the faculty member's time commitment to the different units. The MOU will also state the sources of compensation directed to the faculty member, distribution of resources, the planned acknowledgement of the academic units in publications, the manner in which credit for any grant funding will be attributed to the different units, and the distribution of grant funds among the appointing units. Unless other arrangements are specified in the MOU, the TIU in which the faculty member's FTE is greater than 50% will be considered that faculty member's TIU. Joint-appointed faculty may vote on promotion and tenure cases only in their TIU.

### 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.

The SHIFT (Strategic Hiring Initiative for Faculty Talent) Framework was designed to identify and recruit broad, qualified applicant pools of extraordinary scholars who are leaders in their respective fields. Deans, department chairs, and search committee members work in partnership with the Office of Faculty Affairs and other key stakeholders in adherence to this framework to ensure a thorough, fair, and consistent faculty search process. The framework consists of four distinct phases—each of which includes a series of core requirements (must-do action steps) and optimal practices (aspirational action steps)—followed by a fifth phase focused on preboarding and onboarding.

This school adheres in every respect to the Framework requirements as detailed at [SHIFT](#).

All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. A formal review and selection process, including interviews using pre-designed evaluation rubrics, is 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, and research faculty,
- appointments at senior rank or with prior service credit,
- hiring faculty from other institutions after April 30,
- appointment of foreign nationals, and
- letters of offer.

### 1. Tenure-track Faculty

A national search is required to ensure a pool of highly qualified candidates for all tenure-track positions. This includes all external candidates for all faculty positions. The only exception is for dual career partners, as described in Chapter 5, section 4.1 of the [Policies and Procedures Handbook](#). 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](#).

The Dean of the college grants approval to the school to begin a search. This approval may be accompanied by constraints with regard to salary, rank, and field of expertise, and may or may not include guidance regarding faculty with the potential for appointments to more than one TIU.

For faculty hires, the Section Head appoints a Faculty Search Committee composed of at least three faculty and one student from within the section and one faculty member from outside the section. The Section Head also appoints the Chair of the committee and a Procedure Oversight Designee (POD) who ensures that vigorous efforts are made to gather a broad pool of qualified applicants. In the case of searches targeting jointly appointed faculty, the primary appointment TIU will be responsible for assembling the search committee, which must include at least one representative from the secondary TIU.

When searching externally for a Section Head, the school Director appoints the search committee in consultation with the Associate Dean for Faculty Affairs and the section's faculty. The search committee will be composed of at least four faculty from the section, a majority of whom are tenured, a student from the section, and at least one faculty member from outside the section.

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 school Director will make a final decision after considering all candidates and after reviewing all recommendations of the Search Committee, the Section Head, the relevant areas, and the faculty vote. If more than one candidate achieves a positive recommendation, the school Director chooses the candidate to approach first. The school director, in consultation with the Section Head, determines the details of the offer, including compensation. In the case of jointly appointed faculty, in the event that more than one candidate achieves the level of support required to extend an offer, the Chair or Director of the primary appointment TIU decides which candidate to approach first. The details of the offer, including compensation, are determined by the Chair or Director of the primary appointment TIU. The Dean must approve any offer letter sent to a candidate.

Additional appointment procedures include:

- For offers at the Associate or Professor ranks, with or without tenure, an evaluation by the Promotion and Tenure Committee and a discussion and vote by the eligible faculty are required, including the appropriateness of any prior service credit. They are asked the following question: "The Search Committee recommends that the appointment be at the rank of \_\_\_\_\_; do you agree with this recommendation?" 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 Office of Academic Affairs.
- Procedures are identical to those for promotion review of tenure-track faculty, with the exception that some recommendation letters may be included. Before the evaluation, candidates are given the opportunity to provide additional material on their teaching, scholarship and service record beyond that provided with their application.



- All offers at the Associate Professor and Professor ranks, with or without tenure, and all offers of prior service credit require the prior approval of the Dean and the Office of Academic Affairs.
- The school 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. An [MOU](#) must be signed by faculty eligible for tenured positions who are not U.S. citizens or nationals, permanent residents, asylees, or refugees.
- In the case of conflict of interest, or familial or comparable relationship with the candidate, any conflicted faculty members will not be involved in the search process and will not be allowed to vote on the candidate.
- After the successful appointment of the new faculty member, the Section Head will appoint an appropriate mentor or mentors to aid the new faculty member with regard to the university's procedures and processes of teaching, scholarship and service.

## **2. Professional Practice Faculty**

Searches for professional practice faculty generally follow those for tenure-track faculty, with the exception that the candidate's presentation during the on-campus or virtual interview addresses professional or creative practice rather than scholarship.

Appointments at the rank of Professional Practice Associate Professor or Professional Practice Professor require evaluation by the Promotion and Tenure Committee, and a discussion and vote by eligible faculty. This includes a requirement for external evaluation letters commenting on the candidate's teaching and/or professional practice, although recommendation letters may also be included.

## **3. Research Faculty**

Searches for research faculty generally proceed identically as for tenure-track faculty.

Appointments at the rank of Associate Research Professor or Research Professor require evaluation by the Promotion and Tenure Committee and a discussion and vote by eligible faculty. This includes a requirement for external evaluation letters commenting on the candidate's scholarship, although recommendation letters may also be included.

## **4. Transfer from the Tenure-track**

Tenure-track faculty may transfer to a professional practice or research appointment if appropriate circumstances exist. Tenure-track faculty members who transfer to a professional practice or research position must resign their tenure-track position, relinquishing tenure if applicable.

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. In cases involving probationary faculty, the request for transfer must be initiated by the faculty member in writing by April 1 of the year before a mandatory review in order to stop that mandatory review.

A faculty member undergoing mandatory review may not request a transfer after receiving notice that the executive vice president and provost has decided not to recommend tenure and promotion. All requests for transfer must provide clear evidence of changes in the individual's career goals and expectations, duties and activities (see the University [Policy on Faculty Appointments](#)).

Transfers must be approved by the school Director, the college Dean, and the Executive Vice President and Provost.

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

## **5. 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 Section Head in consultation with the school Director.

The review and reappointment of all compensated associated faculty, such as Lecturers and faculty members with less than 50% FTE appointments, are decided by the Section Head in consultation with the school Director. The college must approve offer letters to associated faculty.

Any school faculty member may propose the appointment of adjunct or visiting faculty. Only the school Director may offer a visiting faculty position.

Associated appointments are generally made for a period of one to three years. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Visiting appointments may be made for one term of up to three years or on an annual basis for up to three years. Lecturer and senior lecturer appointments are made on an annual basis and rarely semester by semester. After the initial appointment, and if the school's curricular needs warrant it, a multiple year appointment may be offered.

## **6. Joint Appointments**

The school or section may propose a joint appointment for a faculty member from another OSU TIU as described in Section IV.A.7. The potential for a joint appointment is typically evaluated during the recruitment process and, as such, is subject to all criteria outlined above for each faculty category.

Approval of the joint appointment by the Office of Academic Affairs is dependent on establishing a mutually agreed-upon arrangement between the TIU heads, college dean(s), and the faculty member. An [MOU](#) signed by all parties, including the Office of Academic Affairs, must describe in detail the arrangements of the joint appointment. Administrative approval will be dependent on whether satisfactory fiscal arrangements have been made.

## **7. Courtesy Appointments for Faculty**

Any school faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, professional practice, or research faculty member from another Ohio State University unit. The faculty advocate must provide a letter justifying the need for the courtesy appointment. In addition, the candidate must provide a resume and any other pertinent information detailing the candidate's scholarship record.

The section faculty will evaluate the candidate's documentation and make a recommendation to the Section Head as to the candidate's suitability for the position. The school Director will then either accept or reject the candidate's request. The faculty member who receives the courtesy appointment is expected to provide an activity report every year, describing the contributions made to the school. The

appointment will be evaluated every fifth year, and if the contributions to the school are insubstantial, the school Director will terminate the courtesy appointment. However, the school Director can also terminate the appointment at any time if the appointment is not in the best interests of the school.

## **V. Annual Performance and Merit Review Procedures**

The school 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 a faculty member's appointment type, the annual review is based on expected performance in teaching, scholarship, and service as set forth in the school's Pattern of Administration, on any additional assignments and goals specific to the individual, and on progress toward promotion where relevant. Annual reviews are expected to provide a written objective assessment of the candidate's progress in teaching, scholarship and service, and for jointly appointed faculty, to evaluate progress relative to the expectations of each TIU to which the faculty member is appointed.

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

### **A. Documentation**

For their annual performance and merit review, faculty members must submit the following documents to the Section Head no later than April 1:

- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required for probationary faculty*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)
- One-page summary of the annual report that highlights key accomplishments in teaching, scholarship, and service during the previous academic year

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**

The Section Head of the TIU holding the primary appointment conducts the annual reviews. In the case of jointly appointed faculty, Department Chairs of all TIUs within the College to which the faculty member has been appointed must meet simultaneously with the faculty member in this meeting. The meeting must also include some discussion of the relative requirements and progress for each TIU relative to the percent appointment to the TIU. The Section Head writes an evaluation of progress in teaching, scholarship, and service, and concludes with a recommendation on whether to renew the probationary appointment. In the case of jointly appointed faculty, this letter should include input from all of the appointed TIUs and is to be signed by all Directors and Chairs of TIUs to which the faculty member has been appointed within the College. The school Director reviews the Section Head's evaluation and writes an independent evaluation including the final decision on reappointment. The Section Head and the school Director meet with the candidate to discuss the Section Head's evaluation and the Director's decision on reappointment. Following the meeting, the probationary faculty member is given copies of the Section Head's letter and the school Director's letter.

If the school Director recommends reappointment, then the recommendation is final. The school Director's letter renews the probationary appointment for another year and includes recommendations on future plans and goals. The faculty member may provide written comments on the review. The Section Head's letter, the school Director's letter, and the faculty member's comments (if provided) are forwarded to the Dean of the college. In addition, the Section Head's letter, the school Director's letter, and faculty member comments (if provided) become part of the dossier for promotion and tenure.

If the school Director recommends nonrenewal, the Fourth-Year Review process is invoked (per Faculty Rule [3335-6-03](#)). Following completion of the Fourth-Year Review, 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 exception that external evaluations are optional and the Dean, not the school Director, makes the final decision regarding renewal or nonrenewal of the probationary appointment. At the conclusion of the school 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 primary appointment TIU Department Chair or school Director recommends renewal or nonrenewal.

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 school director, who conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

In the case of jointly appointed faculty, the department Chair or school Director of the secondary appointment TIU should be consulted as an additional source of evaluation in determining whether outside letters should be solicited. The written evaluation from the primary appointment TIU Chair or Director must clearly provide justification for the recommendation to the College and should be prepared in consultation with Chairs or Directors of all TIUs to which the faculty member has been appointed. If the secondary TIU is within the college, the letter must be signed by the Chairs or Directors of all TIUs to which the faculty member has been appointed.

## **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**

The Section Head will meet annually with every tenured faculty member to discuss the faculty member's performance and future goals. Following this meeting, the Section Head will write an independent evaluation to provide feedback on teaching, scholarship, and service.

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 Knowlton School, 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 school, 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.

Within 10 days after the written review, the faculty member may respond in writing to the review. The Section Head's letter and the faculty member's response (if provided) are included in the faculty member's file. In the case of jointly appointed faculty, these reviews should include assessments from all TIUs to which the faculty member has been appointed within the College.

The school Director must ensure that annual review letters are candid, constructive, and give appropriate feedback to the faculty member as described by [Faculty Annual Review and Reappointment Policy](#). To this end, the school Director will review annual review letters, and may request revisions. In addition, the school Director may enlist an advisory committee to provide a preliminary review to advise an Associate Professor on promotion to Professor.

## **D. Professional Practice Faculty**

The annual performance and merit 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.

### **Annual Performance and Merit Review for Probationary Professional Practice Faculty**

For probationary professional practice faculty, a meeting with the Section Head is required to discuss their performance, future plans and goals. The Section Head prepares a written evaluation that includes a recommendation on whether to renew the appointment. In the case of jointly appointed faculty, this evaluation is to be prepared in consultation with Chairs of any secondary appointment TIUs and is to be signed by all Chairs of TIUs to which the faculty member has been appointed if within the College.

If the school Director agrees with a renewal of the appointment, this recommendation is final. The Section Head'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 Section Head annual review letter and school Director memo affirming reappointment (along with the faculty member's comments, if received) are forwarded to the Dean of the college. In addition, both letters become part of the cumulative dossier (along with the faculty member's comments if he or she chooses).

If the school Director recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-04](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

### **Appointment Renewal (Contract Renewal) for Professional Practice Faculty**

In the penultimate contract year of a professional practice faculty member's appointment, the school Director must confirm with the college whether the position held by the faculty member will continue.

If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed. There is no presumption of contract renewal.

**Probationary** professional practice faculty must undergo a review no later than the penultimate year of their contract, so the unit may determine whether it is appropriate to renew that individual's appointment for a new term. The review will follow the same procedures as the fourth-year review process for probationary tenure-track faculty described above and concurrently with the probationary tenure-track faculty. External letters of evaluation are not solicited. The college dean has the final approval on the reappointment. Positive decisions will be approved by OAA without a review, and this decision is communicated to OAA using only the [Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form](#) with no attachments. The Board of Trustees (BOT) has final approval, after which the faculty member is no longer probationary.

If the individual will not be renewed, the faculty member should be so informed, subject to the relevant standards of notice set forth in [Faculty Rule 3335-6-08](#).

**Non-probationary** professional practice faculty must be informed as to whether the new appointment will be extended by the end of the penultimate year of their appointment period. The normal annual performance and merit review will serve as the basis for evaluation. An initial decision from the director

to reappoint is final. A copy of the annual review, a draft renewal letter, the [Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form](#) with no attachments, and a recommendation letter from the director will be sent to the college for review.

If the school Director recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-04](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the Dean makes the final decision on or nonrenewal of the probationary appointment. All reappointment decisions are at the discretion of the dean. There is no presumption of contract renewal.

Whether probationary or nonprobationary, criteria for reappointment align with the role of professional practice faculty: a professional practice faculty member demonstrates exemplary capability in their areas of specialization, excellence in teaching, support for student and program development in their areas of expertise, and effective service, and is an effective bridge between practice and academia.

### **E. Research Faculty**

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

#### **Annual Performance and Merit Review for Probationary Research Faculty**

For probationary research faculty, a meeting with the Section Head is required to discuss their performance, future plans and goals. The Section Head prepares a written evaluation that includes a recommendation on whether to renew the appointment. In the case of jointly appointed faculty, this evaluation is to be prepared in consultation with Chairs of any secondary appointment TIUs and is to be signed by all of the TIUs to which the faculty member has been appointed if within the College.

If the school Director agrees with a renewal of the appointment, this recommendation is final. The Section Head'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 Section Head annual review letter and school Director's memo affirming reappointment (along with the faculty member's comments, if received) are forwarded to the Dean of the college. In addition, both letters become part of the cumulative dossier (along with the faculty member's comments if he or she chooses).

A recommendation for nonrenewal requires the approval of both the primary appointment director and the dean. The dean makes the final decision.

#### **Appointment Renewal (Contract Renewal) for Research Faculty**

In the penultimate contract year of a research faculty member's appointment, the school Director must confirm with the college that the position held by the faculty member will continue.

If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed. There is no presumption of contract renewal.

**Probationary** research faculty must undergo a review no later than the penultimate year of their contract, so the unit may determine whether it is appropriate to renew that individual's appointment for a new term. The review will follow the same procedures as the fourth-year review process for probationary tenure-track faculty as described above and concurrently with the probationary tenure-



track faculty. External letters of evaluation are not solicited. The college dean has the final approval on the reappointment. Positive decisions will be approved by OAA without a review, and this decision is communicated to OAA using only the [Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form](#) with no attachments. The Board of Trustees (BOT) has final approval, after which the faculty member is no longer probationary.

If the individual will not be renewed the faculty member should be so informed, subject to the relevant standards of notice set forth in [Faculty Rule 3335-6-08](#).

**Non-probationary** research faculty must be informed as to whether the new appointment will be extended by the end of the penultimate year of the contract. The normal annual performance review will serve as the basis for evaluation. An initial decision from the director to reappoint is final. A copy of the annual review, a draft renewal letter, the [Record of Review for Promotion in Academic Rank/Tenure/Reappointment Form](#) with no attachments, and a recommendation letter from the director will be sent to the college for review.

If the school Director recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-04](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the Dean makes the final decision on or nonrenewal of the probationary appointment. All reappointment decisions are at the discretion of the dean. There is no presumption of contract renewal.

#### **F. Associated Faculty**

The annual performance and merit review process for associated faculty follows standard review procedures with an emphasis on teaching and, where applicable, service.

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The school director, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals.

The school director's decision on renewal of the appointment is final. If the decision is to renew, the school director may extend a multiple year appointment.

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

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

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

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



Meritorious performance in teaching, scholarship, and service is assessed over the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance and consistent growth in all applicable areas of endeavor will be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

Faculty 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 cannot expect to recoup the foregone raise at a later time.

The Section Head recommends annual salary increases and other performance rewards to the school Director, who may modify these recommendations. As a general approach to salary recommendations, the Section Head 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 school Director must 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.

## **VI. Promotion and Tenure and Promotion Reviews**

### **A. Criteria and Documentation that Support Promotion**

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

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

#### **1. Promotion to Associate Professor with Tenure**

The awarding of tenure and promotion to the rank of Associate Professor must be based upon clear and convincing evidence that the candidate has provided and will continue to provide high quality teaching, scholarship, and service relevant to the mission of the school (Faculty Rule [3335-6-02](#)-C), or TIUs in the case of jointly appointed faculty. When assessing a candidate's national and international reputation in the field, creative activities in outreach and engagement should be valued in addition to scholarly and teaching activities.

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 school's academic

mission at a high level for the duration of their time at the university, or TIUs in the case of jointly appointed faculty. Tenure is not awarded below the rank of Associate Professor at The Ohio State University.

Every candidate must meet the school's expectations in all aspects of performance, as defined for each faculty member in their letter of offer and subsequent annual review letters from the Section Head. All candidates are held to a high standard in the areas central to their responsibilities and must establish a substantial probability that this standard in teaching, scholarship and service will continue.

Finally, a failure to conduct oneself in a consistently ethical manner in scholarship, teaching or service, as defined for example in the [American Association of University Professors' Statement on Professional Ethics](#) may justify an unfavorable review outcome.

The criteria listed below apply both to promotion to the rank of Associate Professor with Tenure, and, in the case of untenured Associate Professors, to the award of tenure.

### **Teaching**

High quality teaching is the provision to all students the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. The evaluation of a candidate's teaching should be accomplished within a process that includes all TIUs in which the candidate has taught. For promotion to Associate Professor with Tenure, a faculty member must demonstrate the ability to:

- Organize and present class material with logic and enthusiasm,
- Develop intellectually by providing up-to-date course content,
- Employ different technologies and teaching strategies as appropriate,
- Create a learning environment that stimulates intellectual growth and/or technical facility by engaging students and encouraging independent thought,
- Assist and respect students inside and outside the classroom, providing timely and appropriate feedback,
- Demonstrate efforts to improve teaching,
- Improve the curriculum through revision or new development of courses and/or academic programs
- Developed interdisciplinary courses across multiple departments, schools and colleges in the case of jointly appointed faculty, and
- Served as a student advisor in the faculty member's area(s) of expertise.

Novel teaching methods including development of electronic and other forms of educational interactions with students inside and outside the traditional classroom environment are encouraged. The school expects that the candidate will exhibit high quality teaching or that the teaching quality show a positive trajectory over time. Poor teaching evaluations punctuated by the occasional good, or even excellent, performance are not considered sufficient for promotion and tenure. This applies in similar fashion to the candidate's performance in student advising and on the various forms of examination committees.

### **Scholarship**

Scholarship encompasses the domains of research as defined by the university: “scholarly and creative work, applied research, and the scholarship of pedagogy” (Faculty Rule [3335-6-02-A](#)). Scholarship must always find a public venue.

Primary modes of scholarly work include books and monographs, chapters in edited books, peer-reviewed journal articles, editor-reviewed journal articles, and the curation of exhibitions and symposia. Secondary modes include reviews and abstracts, proposal submissions, papers in proceedings, symposium and conference participation, invited lectures at universities and other cultural institutions, and edited books and collections of scholarly or creative works.

Creative work includes both commissioned and noncommissioned design activities related to the organization of the built environment including buildings, landscapes, installations, and the production of physical and digital artifacts such as drawings and models. Public venues for creative work include publications, exhibitions, symposia, and design competitions.

Applied research may appropriate the modes of scholarly or creative work. It also includes the development of software and developing and securing intellectual property such as patents, patent disclosures and licensing of university-developed intellectual property.

In the case of jointly appointed faculty, care must be taken to consider impacts across multiple fields. This is particularly important in cases where the research focus may deviate from what would be considered conventional work within the school and may require evaluations from referees outside of the primary appointment discipline.

The scholarship of pedagogy may appropriate the modes of scholarly or creative work.

Scholarship is evaluated according to the following criteria:

- *originality*  
A candidate’s body of work must clearly demonstrate an independent and distinct contribution to the discipline. Both individual and collaborative work is encouraged. A candidate must document their distinct contribution to any collaborative work.
- *thematic focus*  
A candidate must develop a body of work that is coherent and thematically focused. This is especially important where work spans domains, e.g., includes scholarly and creative work and the scholarship of pedagogy.
- *consistency and continuity*  
A candidate must establish a scholarship program by promotion review. Rates of production vary and a candidate may have a slower rate early in a career. However, candidates must demonstrate a sustained trajectory of production and the promise of continuing productivity.
- *dissemination and recognition*  
A candidate must disseminate work through recognized venues. Venues are evaluated on the basis of their prominence in the field, the rigor of the review process, impact and acceptance ratings when available, and other criteria that clearly demonstrate high quality.
- *influence*

A candidate must demonstrate influence through growing national and/or international recognition. Primary indicators of influence include reviews in respected digital or print media, citations in the relevant literature, scholarly and professional awards, speaking at peer institutions and other significant forums, judging competition entries, serving on fellowship committees external to the university, and letters of evaluation by peers and recognized leaders in the discipline. Other indicators include leading design workshops, jurying student work at peer institutions, and reviewing scholarly writings and grant applications.

Funding should be sought to advance scholarship where appropriate and is considered an added indicator of achievement. However, the school recognizes that funding opportunities in its disciplines are more limited than elsewhere in the college.

- *alignment*

A candidate must demonstrate how her/his scholarship advances the scholarship strategy of the school, the college, and the university. In the case of jointly appointed faculty, this vision should include considerations of the research strategies of the TIUs to which the candidate has been appointed.

- *ethics*

A candidate must demonstrate a high degree of ethics in the conduct of scholarship including, but not limited to, full and timely adherence to all regulations relevant to the scholarly program, and ethical treatment of students, postdoctoral fellows, and collaborators in the development and dissemination of scholarship.

## **Service**

Heavy service commitments are inappropriate for probationary tenure-track faculty and are discouraged by the school. Nonetheless, for promotion to Associate Professor with Tenure, a faculty member is expected to have:

- made contributions to the governance and advancement of the school in a collegial manner that facilitates positive contributions by others, and
- demonstrated the ability for useful contributions to the college, the university, professions, and/or civic community.

The school evaluates the quality and quantity of service in the context of the individual faculty member's distribution of effort.

## **2. Promotion to Professor**

### **General considerations**

Faculty Rule [3335-6-02](#)-C 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.*

Promotion to Professor recognizes a record of sustained accomplishment. 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 increasingly influential scholarship contributions, a record of continuing professional growth, and evidence of established national and growing international reputation in the field (and those of associated TIUs in the case of jointly appointed faculty) When assessing a candidate's national and international reputation in the field, activities in outreach and engagement are also valued.

For promotion to Professor, the school reviews the entire record, but most heavily weighs the activities of the five to seven years leading up to the application for promotion. The school expects very clear indications that high quality performance will continue beyond promotion.

The school recognizes that there is more than one path to promotion to Professor. The Section Head, in consultation with the Director, will help Associate Professors assess their strengths and how they can lead to promotion. Annual review letters will outline a path by establishing expectations in teaching, scholarship, and service that are to be met for consideration for promotion. Evaluation for promotion will take place in the context of the faculty member's success in meeting these expectations.

### **Teaching**

For promotion to Professor, excellence in teaching may be demonstrated by the criteria set forth in Sections VI.A1, VI.B1, and IX.C. and fulfilling the following leadership roles.

- Academic development of graduate students and young faculty members as indicated by:
  - graduates who have demonstrably contributed to their discipline through academic or professional accomplishments; and
  - junior faculty whose academic productivity has been supported and enhanced.
- Active engagement in the curriculum as indicated by:
  - serving when asked in a leadership role such as Undergraduate or Graduate Program Chair or any other role that advances the quality of the section's curriculum; and
  - developing unique and innovative teaching tools.
- Serving when assigned, on curriculum committees at the school, college, and/or university level.

### **Scholarship**

For promotion to Professor, the candidate should have a body of work that has evolved since promotion to Associate Professor, has national recognition and growing international recognition, and promises continued achievement. Influence is the paramount factor in evaluating this achievement. Beyond that, the scholarship contribution is to remain original, thematically focused, and disseminated in respected venues.

### **Service**

The candidate is expected to have played a substantial service role in the school and to the wider community—the university, the profession, or the civic community. Service to the profession may include organizing conferences, service learning, and service to professional

societies and on review panels. Service to the civic community may include offering design and planning services at the local, national, or international level. For candidates whose duties are mainly administrative in nature, superior administrative service that clearly enhances the effectiveness of the institution should be highly valued.

### **3. Professional Practice Faculty**

All professional practice faculty are expected to:

- engage in teaching, the development of the school academic program, and the mentoring of students,
- participate in significant professional or creative practice that contributes to the outreach and engagement mission of the school, college, and university, and
- contribute to service in the school and profession in a collegial manner.

The teaching activities of professional practice faculty must be consistent with the rationale for having professional practice faculty in the school, that is, focused on the practice of architecture, landscape architecture, or city and regional planning. Similarly, the non-teaching focus of professional practice faculty may be different from that of tenure-track faculty and be more engaged in activities that advance professional practice. Venues may also be different from those of tenure-track faculty, and activities may emphasize outreach and interaction with constituencies beyond the scholarly community, such as with industry, the broader educational community, and the broad community of practitioners. Because of its professional focus, the activities of professional practice faculty may blur the distinction between scholarship and service that is common with tenure-track faculty, specifically when service is considered in relation to the civic community and the professions.

#### **Promotion to Professional Practice Associate Professor**

Promotion to Professional Practice Associate Professor is based on the candidate's:

- accomplishment in teaching, the development of the school academic program, and the mentoring of students,
- contribution to the outreach and engagement mission of the school, college, and university,
- promise of continued professional growth, and
- service to the school and profession in a collegial manner.

Subject to the different emphases for professional practice faculty in teaching, scholarship and service described in this section, the criteria for promotion are similar to those for promotion to Associate Professor for tenure-track faculty. It is recognized that teaching and scholarly activities of professional practice faculty (in contrast to those of tenure-track faculty) may show greater emphasis on professional or creative practice.

#### **Promotion to Professional Practice Professor**

Promotion to Professional Practice Professor is based on the candidate's:

- sustained accomplishment in the area of teaching, the development of the school academic program, and the mentoring of students,
- continued contributions to the outreach and engagement mission of the school, college, and university,
- continued professional growth, and
- continued service to the school and profession in a collegial manner.

Subject to the different emphases for professional practice faculty in teaching, scholarship and service described in this section, the criteria for promotion are similar to those for promotion to Professor for tenure-track faculty. It is recognized that teaching and scholarly activities of professional practice faculty may show greater emphasis on professional or creative practice. Such contributions when present should be sustained and outstanding for successful promotion to Professional Practice Professor.

#### **4. Research Faculty**

All research faculty must:

- be engaged in the mentoring of students, particularly graduate students.
- develop a record of scholarship.
- contribute to service and thereby demonstrate a commitment to citizenship and collegiality.

Classroom teaching is not required of research faculty (Faculty Rule [3335-7-32](#)). However, research faculty members are expected to be engaged in those teaching activities described in Section VI.A that develop the research capabilities of graduate students. The preponderance of the effort of research faculty is expected to be devoted to scholarship activities as described in Section VI.A. Professional service activities such as described in Section VI.A are expected of research faculty, while administrative service activities would be expected to focus on tasks consistent with the candidate's scholarly expertise.

It is recognized that research faculty may emphasize research that applies and transitions technologies into practice as opposed to more fundamental investigations. The importance of maintaining full salary coverage is also recognized. The college takes these factors into account in evaluating research faculty candidates for promotion.

#### **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 scholarship. The criteria for promotion are similar to those under the scholarship and service categories for promotion to Associate Professor with Tenure. The importance of maintaining continuous salary support for research faculty may also be recognized. The school takes these distinctions into consideration when evaluating candidates; clear evidence of high-quality scholarly contributions and of graduate student supervision are required in all cases.

#### **Promotion to Research Professor**

For promotion to Research Professor, a faculty member must have a national and international reputation built on an extensive body of scholarship that has a demonstrated influence on the field. A record of continuous funding support may be required, along with demonstrated scholarship productivity as a result of such funding. The criteria for promotion are similar to those under the scholarship and service categories for promotion to Professor. The school takes these distinctions into consideration when evaluating candidates; clear evidence of high-quality scholarship contributions and of graduate student supervision are required in all cases.

#### **5. 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.4.

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

## **B. Procedures**

The school's procedures for promotion and tenure and promotion reviews are 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](#).

The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the school.

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

#### **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 document under which they wish to be reviewed. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to school guidelines. Each of these elements is described in detail below.

- **Dossier**

Candidates are responsible for submitting the necessary documentation in a manner consistent with the applicable requirements of the school, College of Engineering, and Office of Academic Affairs. Tenure-track faculty candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist. Professional practice and research faculty requesting promotion or undergoing contract renewal review in the penultimate year of a probationary contract will also follow this outline (sections that are not applicable will be included but marked as not applicable.) Dossiers are typically due to the school Promotion and Tenure Committee on May 1 for preliminary review with completed dossiers due in mid-August. 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.

#### **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 nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present.



- Documentation of each class taught, including:
  - syllabus,
  - innovative teaching strategies,
  - content added to course to remain contemporary and intellectually stimulating, ○ class handouts, such as assignments, exams, and design project briefs,
  - student work, such as assignments, exams, and design projects,
  - cumulative SEI reports for every class,
  - a year-by-year summary of the SEI reports (both quantitative and student written comments) prepared by a faculty member other than the candidate,
  - peer evaluation of teaching reports, and
  - improvements to course in response to SEI's, student comments, peer evaluations, and/or the Michael Drake Institute for Teaching and Learning.
- 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 accepted and is complete with no further revisions required.
- Documentation of teaching activities as listed in the OAA dossier including:
  - curriculum development,
  - mentoring of undergraduate and graduate students including recommendations for and placement in graduate School, academia, and professional practice,
  - involvement in graduate/professional exams, theses, and dissertations, and undergraduate scholarship
  - extension and continuing education instruction,
  - presentations on pedagogy and teaching at national and international conferences,
  - adoption of teaching materials at other Colleges or universities,
  - awards and formal recognition of teaching, and
  - other teaching activities or recognition as appropriate.

## Scholarship

The time period for scholarship documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion to present. There should also be an increasing trajectory of significant scholarly outcomes over time.

- Copies of all books, articles, and scholarly papers published or accepted for publication. Writings accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the writing has been unequivocally accepted and is in final form, with no further revisions needed.
- Documentation of physical works such as buildings, landscapes, implemented plans, exhibitions, and competition entries.

- In the case of collaborations, a description of the candidate's contribution in terms of its quality (what was contributed) and its quantity (percentage of the overall production).
- Indicators of scholarly influence such as citations, grants, awards, fellowships, or some other form of peer recognition.
- Indicators of the quality and selectivity of scholarly venues, e.g., venue reputation, review process, and acceptance rates.
- Documentation of grants and contracts received.

## **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 nonprobationary faculty it is the date of last promotion to present.

- administrative service to school, college, university, and student groups and organizations,
- service to the civic community,
- service to the profession including professional journals and societies,
- consultation activity with industry, education, or government,
- practice services,
- awards and commendations for any of the above, and
- 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 school. The documentation of teaching is forwarded along with the dossier. The documentation of scholarship and service is for use during the school review only, unless reviewers at the college and university levels specifically request it.

For non-mandatory review for promotion and tenure, or for promotion in rank, the faculty member must notify the Section Head and school Director by April 1. With this notification, the candidate will provide the currently available dossier for consideration of the appropriateness of the requested review by the Promotion and Tenure Committee. The Promotion and Tenure Committee will make its recommendation by April 30.

## **• 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 school'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. This must be submitted when the dossier is submitted to the department.

## **• External Evaluations**

Candidates are responsible for reviewing the list of potential external evaluators if evaluations are required. 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 school Director decides whether removal is justified. (Also see External Evaluations below.) OAA requires a minimum of five external evaluation letters, with no more than one-half of those letters in the dossier from persons suggested by the candidate (Faculty Rule [3335-6-04B-3](#)).

Candidates are to provide materials for external review after consulting with the Section Head and the Procedures Oversight Designee of the Promotion and Tenure Committee. Materials are typically sent to external reviewers in late June

#### **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 revisions to the faculty.
- To provide a letter for re-appointment consideration of non-probationary research and professional practice faculty in cases where non-renewal is recommended by the school Director (see Sections V.D and V.E).
- To consider annually in spring semester requests from assistant professors seeking a non-mandatory review and associate professors seeking promotion to full professor in the following academic year and to decide by majority vote whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A 60% majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
  - The decision is based on assessment of the record as presented in the faculty member's current dossier submission and on a determination of the availability of all required documentation for a full review. Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
  - The P&T committee can deny a tenured Associate Professor's request for promotion to Professor for only one year ([3335-6-04-A-3](#)). If the denial was based on lack of required documentation and the faculty member insists that the subsequent review go forward despite incomplete documentation, the individual will be advised that such a review is unlikely to be successful. ○ A decision to permit a review to take place in no way commits the eligible faculty, the school Director, 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 as described below.
  - Assist with external reviewer selection and take reasonable steps to verify that all reviewers have an "arm's-length" relationship to the candidate.
  - Review the candidate's dossier for completeness, accuracy, and consistency.
  - Assist the candidate with dossier revisions before the formal review process begins.
  - Prepare a report that is an objective assessment of candidates' performance. The report serves three purposes. First, it summarizes the candidate's contributions in teaching,

scholarship, and service. Second, it analyzes the candidate's performance in teaching, scholarship, and service following the criteria described in this document's Section VI.A. Third, in each area, the report concludes with a ranking:

does not meet expectations, meets expectations, exceeds expectations. The committee's report does not make a recommendation on promotion/tenure.

- Secure the candidate's materials, external review letters, and the committee's report in a secure location available only to the eligible faculty. Notify the faculty of the same two weeks before the faculty meets to discuss the candidacy. At no time will the materials include anonymous comments or letters.
  - Conduct a meeting of the eligible faculty. The faculty meeting must be attended by a quorum of eligible faculty within the school (see Section III.C.) At this meeting, the committee will lead and document a discussion of the candidate's record. After the discussion, the committee will conduct a secret vote in answer to the question: "Do you support the promotion of (candidate's name) to the rank of Associate/Professor in the Knowlton School?" Absentee ballots and proxy votes are not permitted, but eligible faculty who participate in the eligible faculty meeting by teleconferencing are allowed to vote.
  - Prepare a report to the school Director following the faculty meeting that documents the faculty vote and comments including dissenting opinions.
  - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- In the case of jointly appointed faculty, provide a written evaluation and recommendation to the school Director in the case of joint appointees whose primary tenure-initiating unit is elsewhere. The full eligible faculty does not vote on these cases since the school's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on the school's cases. For jointly appointed faculty whose primary appointment is in Knowlton, provide written evaluation and recommendation based on information provided by all TIUs to which the candidate has been appointed, taking into consideration any MOU concerning a jointly hired candidate's expectations for performance.

### **c. Eligible Faculty Responsibilities**

The responsibilities of the members of the eligible faculty are outlined below.

- Review the candidate's dossier in advance of the meeting to discuss the case.
- Attend the faculty meeting except in circumstances beyond one's control, to participate in discussion of every case, and to vote.
- Perform peer evaluations of teaching as requested by the Section Head.
- Maintain confidentiality throughout the process.

The Promotion and Tenure Committee's Report does not relieve faculty of the obligation to judge the merits of each candidate for promotion and tenure, balancing higher accomplishments and/or heavier responsibilities in one area against less significant accomplishments in another.

### **d. Section Head Responsibilities**

The Section Head's responsibilities are outlined below.

- Provide copies of annual review letters to the committee.

- Write an independent summary evaluation and recommendation for the candidate and include this document with the candidate's dossier at least two weeks before the meeting of eligible faculty.

#### **e. School Director Responsibilities**

The responsibilities of the school Director are outlined below.

- Charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- 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 school must ensure that such questions are asked of all candidates in a non-discriminatory manner.)
- Determine suitable external evaluators in consultation with faculty in the candidate's scholarly area, the Section Head, and the Chair of the Promotion and Tenure Committee. This must be done by May 1 for tenure-track faculty.
- Solicit external evaluation letters as required to meet the applicable review schedule.
- Notify eligible faculty in writing, at least one month in advance, of the time, date, location, and expected duration of the meeting at which the candidacy will be discussed.
- Remove any eligible faculty member from the review of a candidate when the faculty member has a conflict of interest but does not voluntarily withdraw from the review.
- Attend the meeting of the eligible faculty and respond to questions raised during the meeting. At the request of the eligible faculty, the school director will leave the meeting to allow open discussion among the eligible faculty members.
- Write an independent evaluation for each candidate, after reviewing the candidate's complete package.
- Retain faculty ballots in a confidential file for a period of four years.
- Meet with the faculty if the school Director departs from the faculty recommendation. At this meeting, the school Director will give reasons and invite comments. Faculty may respond at that meeting or in writing within two business days after the meeting.
- Notify each candidate in writing of the:
  - availability for review of the Section Head's evaluation and recommendation, the committee's reports, and the school Director's evaluation and recommendation, and the
  - opportunity to submit written comments on the above material for inclusion in the dossier within 10 calendar days from receipt of the letter from the school director. The letter is accompanied by a form that the candidate returns to the school director indicating whether or not he or she will submit comments.
- Write a response to any pertinent candidate comments for inclusion in the dossier.
- Forward the completed dossier to the college office by that office's deadline.

- Write an evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units to the Chair of the other tenure-initiating unit by the date requested.

## 2. Procedures for Associated Faculty

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

## 3. External Evaluations

External evaluations of scholarly activity are obtained for all promotion reviews in which scholarship or professional practice must be assessed. These include all tenure-track promotion and tenure or promotion reviews (excluding Fourth-Year Reviews), all professional practice faculty promotion reviews, all research faculty promotion reviews, and all associated faculty promotion reviews that involve a scholarship component.

A minimum of five and maximum of seven credible and useful evaluations must be obtained. In cases of jointly appointed faculty, additional evaluators may be suggested by the Department Chair of the secondary appointment TIU as appropriate. The criteria of useful evaluations are outlined below.

- **Evaluator.** Written by a person highly qualified to judge the candidate's scholarship as relevant and who can give an "arms' length" evaluation. The evaluator is an esteemed professional or faculty of a rank higher than that of the candidate. The evaluator cannot be a close personal friend, scholarly collaborator, or former academic advisor or postdoctoral mentor. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. For tenure track and research faculty candidates, the school 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.
- **Letter.** Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is determined by its analytical quality and never by generic assertions. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

The source and content of external evaluations for professional practice faculty promotion candidates should reflect the contributions expected of professional practice faculty members. External evaluations should address the extent and quality of teaching as characterized by internal and external evaluations of instruction and the quality of contributions through outreach and engagement with industry, the educational community and the broad community of practitioners as appropriate for the individual under review. Evaluations should also address the extent and quality of professional service to the school, college and university. External evaluations need not be restricted to national or international peers but should derive from

authoritative and reputable sources qualified to comment substantively on the contributions and accomplishments of the faculty member.

The school cannot control who agrees to write and or the usefulness of the letters received. Therefore, tenure-track faculty evaluation letters are solicited by May 1 prior to the review year to allow for the request of additional letters if necessary

The list of potential evaluators is assembled by the school Director using input from the candidate, faculty, Section Head, and Chair of the Promotion and Tenure Committee. 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 Office of Academic Affairs nor this school require that the dossier contain letters from evaluators suggested by the candidate.

The Promotion and Tenure Committee Chair will take reasonable steps to verify that all reviewers have an "arm's-length" relationship to the candidate, i.e., not advisors, supervisors, relatives, co-authors, scholarly collaborators, or contract administrators. Outside evaluators will be asked to comment on the quality of a tenure-track candidate's scholarship, specifically the:

- originality of its contribution to the discipline and profession,
- influence of its contribution on the discipline and profession,
- reputation and selectivity of the venues by which it has been disseminated and recognized, and
- standing of the candidate relative to other faculty with similar scholarly interests at the same stage in their careers.

External evaluators for professional practice faculty follow similar criteria with an emphasis on professional practice as described in Section VI.A.3.

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

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 school's written evaluations or brought to the attention of the Office of Academic Affairs.

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 initiates contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the school Director. The school Director will decide if any action is warranted. It is in the candidate's self-interest to ensure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

## **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 the school. Faculty members should choose a day late in the semester when attendance is likely to be high, provide in-class time for students to complete the evaluation, and take advantage of mobile applications. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should emphasize that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

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

The Director, in consultation with the Section Heads, oversees the school's peer evaluation of teaching process.

Each faculty member scheduled to be reviewed will nominate two colleagues to their Section Head, who will select and constitute the peer review of teaching committee. Reasonable efforts will 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 school. Although there is no presumption that peer reviewers must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

Peer reviews will be conducted according to the following schedule.

- Probationary tenure-track and professional practice faculty will be reviewed at least once per year during the first two years of service, and at least twice more before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned in the probationary period.
- Tenured Associate Professors and non-probationary Professional Practice Associate Professors will be reviewed at least once every other year, with the goal of having at least two peer reviews of teaching before the commencement of a promotion review.
- Tenured Professors and non-probationary Professional Practice Professors will be reviewed at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.
- At the Section Head or Director's request, the teaching of any faculty member not currently scheduled for review may be reviewed. Such reviews are normally triggered by low or



declining student evaluations or other evidence of the need for providing assistance in improving teaching.

- At a faculty member's request, she or he may be reviewed to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The Section Head 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 Section Head or the faculty member focus on the specific aspects of instruction requested by the Chair or faculty member.

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

In observing the course and reviewing the syllabus and other materials, the peer review of teaching committee 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 peer review of teaching committee meets with the candidate to give feedback and review the written report that will be submitted to the Section Head and copied to the candidate. The candidate may provide written comments on this report and the peer review of teaching committee may respond. The reports are included in the candidate's promotion and tenure dossier.

### C. SEI Framing Statement

Annual evaluation of teaching for all faculty members in the Knowlton School is an important element of formal evaluative processes, including promotion and tenure and merit pay determinations. To this end, all sections of the school employ the university's online Student Evaluation of Teaching (SEI). However, the use of this standardized tool is not exclusive and the school does not rely solely on SEI's in the assessment of teaching quality. (See: Office of Academic Affairs [Policies and Procedures Handbook](#) Volume 3, 4.1.4 Student Evaluation of Instruction). Other evaluative tools and categories include the following.

- Self-assessment and statement of plans and goals.
- Number, level, complexity and size of courses taught.
- Teaching portfolios that demonstrate the depth and breadth of teaching content and the creativity of teaching techniques.
- Curriculum development including new courses and methodologies.

- 1 • Student, peer, and external evaluations of classroom and studio teaching, including student exit  
2 interviews and alumni surveys.
  - 3 • Evaluation of performance as an advisor and mentor.
  - 4 • Customized evaluation instruments such as Feedback on Your Instruction, offered by the  
5 Michael Drake Institute for Teaching and Learning.
  - 6 • The success of current and former students such as through publications, presentations at  
7 conferences, exhibited work, recognized competition entries, and admission to graduate  
8 programs.
  - 9 • Number of completed Masters exams, theses, or Ph.D. dissertations.
  - 10 • Involvement in extension and continuing education.
  - 11 • Authoring textbook(s), book chapters, or other scholarly writings and electronic resources that  
12 contribute to the scholarship of teaching.
  - 13 • National or international recognition as indicated by awards for teaching, invitations to teach at  
14 peer institutions, presentations at high-quality venues, and high-quality contributions to  
15 continuing education.
- 16 The school recognizes that all of these tools and modes of assessment may not apply to every faculty  
17 member in any given year. Inclusion of several evaluative criteria does indicate, however, that no single  
18 form of evaluation will take precedence over another.