

**APPOINTMENTS,
PROMOTION AND TENURE:
CRITERIA AND PROCEDURES**

**College of Education and
Human Ecology**

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I. Preamble

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

Should those rules and policies change, the college 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 five years on the appointment or reappointment of the dean.

The Associate Dean of Faculty Affairs will meet with the College Council or its designee committee to review college and TIU personnel guidelines and procedures annually and, where warranted, to make recommendations for changes in the college APT document.

This document must be approved by a majority vote of the tenure-track and clinical faculty, the Dean of the College of Education and Human Ecology, and the Office of Academic Affairs before it may be implemented. It sets forth the college's mission and, in the context of that mission and the mission of the University, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the Office of Academic Affairs accepts the mission and criteria of the college and delegates to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to college 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 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 affirmative action and equal employment opportunity](#).

II. College Mission, Vision and Core Values

The Ohio State University is among the world's truly great universities—advancing the well-being of the people of Ohio and the global community through the creation and dissemination of knowledge. Four core elements are critical components in terms of achieving the university's goals:

- To provide unsurpassed, student-centered learning experience led by engaged world-class faculty and staff and enhanced by a globally diverse student body.
- To create distinctive and internationally recognized contributions to the advancement of fundamental knowledge and scholarship and toward solutions to the world's most pressing problems.
- To advance a culture of engagement and collaboration involving the exchange of knowledge and resources in a context of reciprocity with the citizens and institutions of Ohio, the nation, and the world.

- To be an affordable public university, recognized for financial sustainability, unparalleled management of human and physical resources, and operational efficiency and effectiveness.

The College of Education and Human Ecology defines its mission within those guidelines and with the intent of continuing its position nationally and internationally as one of the premiere colleges of its kind.

Mission

The mission of the College of Education and Human Ecology is consistent with the land-grant mission to build upon a tradition of excellence in promoting outstanding teaching, research, and service/engagement that significantly and positively impacts individuals, families, schools and consumers within our global communities. Research informs our teaching and service/community engagement activities linking discovery, creativity, and practice, and is itself a specialized form of teaching that guides students and faculty in their search for new knowledge. Outstanding teaching is expected and highly valued in this college.

The undergraduate mission, centered on education and other applied human sciences, focuses on building and maintaining high-quality undergraduate majors that prepare students for their selected professions. The graduate mission is focused upon achieving national and international distinction in research and training for each of the specialty areas offered by the college. The service/community engagement and extension mission is informed by our own and other peer-reviewed research.

Vision

The College of Education and Human Ecology seeks to be a preeminent scholarly community. By recruiting and retaining the best faculty and staff, and through an innovative and challenging curriculum, we will offer the students in our college an unparalleled academic experience that equips them to serve both local and national communities with dignity and integrity.

Core Values

The college derives its mission, vision, core values and practices from Ohio State's [Shared Values](#). The College further derives its mission and vision from a set of five core college values that were voted on by faculty and staff in EHE. These values influence college decisions as they relate to faculty, staff, and student appointments and reviews, policy formation and implementation, resource allocation, and overall decision making.

- *Excellence* in transformative research, teaching, and service that impacts on the lives of our students and community
- *Integrity* in ethical behavior and accountability in our actions while demonstrating respect in the absence of agreement
- *Diversity, Equity and Inclusion* in cultivating a college reflective of the communities we serve in terms of representation, language, action, and behavior
- *Innovation* in a continuous process of discovery that is solution-based
- *Internationalization* in developing a climate that builds a global community and perspective

In addition to these core values, collegiality, civility and mutual respect are cross-cutting themes in EHE. The College supports diverse beliefs and the free exchange of ideas and opinion and expects

that faculty, staff, and students promote these values and apply them in a professional manner in all academic endeavors and interactions within and representing the College.

Taken together, the College of EHE shall implement the mission, vision and core values through the practice of collaborative and interdisciplinary work across perspectives and areas of expertise. Our focus shall be on solving the problems that plague so many children, families, schools and communities. We do this through our focus on five key areas: early childhood education and development, urban and rural education, health and economic vitality, STEAM education, and internationalization and global engagement. We shall bring to bear the promises of education sciences and the human sciences for creating a better life for all. Our aim is to foster excellence in all areas of effort and to move this outstanding college to a greater national eminence.

III. Definitions

A. Committee of Eligible Faculty within Each TIU of the College

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

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

1. Tenure-Track Faculty

Appointment Reviews

- **Initial Appointment Review.** For an appointment (hiring) review of an assistant professor, associate professor, or professor, the eligible faculty consists of all tenure-track faculty in the TIU.
- **Rank Review.** A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested.

Reappointment, Promotion, or Promotion and Tenure Reviews

- For the reappointment and promotion and tenure reviews of assistant professors and the tenure reviews of untenured associate 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. Clinical Faculty

Appointment Reviews

- **Initial Appointment Review.** For an appointment (hiring or appointment change from another faculty type) review of an assistant clinical professor, an

associate clinical professor, or a clinical professor, the eligible faculty consists of all tenure-track faculty and all Clinical Faculty in the TIU.

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

Reappointment and Promotion Reviews

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

3. Research Faculty

Appointment Reviews

- **Initial Appointment Review.** For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, a research associate professor, or a research professor, the eligible faculty consists of all tenure-track faculty and all research faculty in the TIU.
- **Rank Review.** A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested, and all non-probationary research faculty of equal or higher rank than the position requested.

Reappointment and Promotion Reviews

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

4. Associated Faculty

Initial Appointment and Reappointment

- The initial appointment (hiring or appointment change from another faculty type) of compensated associated faculty members is decided by the TIU head based on search committee recommendations and in consultation with appropriate TIU and/or college officials.

Initial appointments at senior rank require a vote by the eligible faculty (all tenured faculty of equal or higher rank than the position requested and, if a TIU has granted them

such voting rights, all non-probationary clinical faculty and research faculty of equal or higher rank than the position requested) and prior approval of the college dean.

- Reappointments are decided by the TIU head in consultation with appropriate TIU and/or college officials.

Promotion Reviews

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

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

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

For the promotion of a lecturer to senior lecturer the eligible faculty shall be all tenure-track and clinical faculty at the rank of associate professor and professor, and all senior lecturers..

5. Conflict of Interest

- **Search Committee Conflict of Interest**

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

- decides to apply for the position.
- is related to or has a close interpersonal relationship with a candidate.
- has substantive financial ties with the candidate.
- is dependent in some way on the candidate's services.
- has a close professional relationship with the candidate (e.g., dissertation advisor);
or
- has collaborated extensively with the candidate or is currently collaborating with the candidate.

- **Eligible Faculty Conflict of Interest**

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

- a thesis, dissertation, or postdoctoral advisee/advisor.
- a co-author on more than 50% of the candidate's publications since appointment or last promotion, including pending publications and submissions.
- a collaborator on more than 25% of projects since appointment or last promotion, including current and planned collaborations.

- in a consulting/financial arrangement with the candidate since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services) or is dependent in some way on the candidate's services; or
- in a family relationship such as a spouse, child, sibling, or parent, or other relationship, such as a close personal friendship, that might affect one's judgment or be seen as doing so by a reasonable person familiar with the relationship.

Such faculty members will be expected to withdraw from a promotion review of that candidate.

6. Minimum Composition

If a TIU does not have at least three eligible faculty members who can undertake a review, the TIU head, after consulting with the college dean, will appoint a faculty member from another TIU within the college.

B. College Promotion and Tenure Committee

The college has a Promotion and Tenure Committee that reviews the promotion, tenure and reappointment or renewal of college faculty and provides an evaluative written assessment to the dean. The Committee's assessment is advisory to the dean. The college committee provides a vote regarding promotion and/or tenure and its findings as to whether all earlier review processes met written university, college, and tenure initiating units' procedures. All votes taken on the college Promotion and Tenure Committee must be either "yes" or "no" votes. Abstentions are not allowed. If a committee member cannot vote either "yes" or "no" they must recuse themselves from voting. A two-thirds quorum is required for the committee to discuss and vote on personnel decisions. All EHE Promotion and Tenure Committee members must participate in training on the P&T process offered by EHE each year they serve on the EHE Promotion and Tenure Committee.

The college promotion and tenure committee consists of twelve tenured faculty; four (4) faculty from each TIU. Of the four faculty from each TIU, at least three must be professors. The dean appoints faculty to the college promotion and tenure committee based on recommendations from TIU heads for terms of 3 years. Members shall not participate in the review of cases from their own TIUs. TIU procedures oversight designees (P.O.D.'s) may also be consulted with regard to processes employed in TIU reviews. The associate dean for faculty affairs chairs the college promotion and tenure committee but does not vote.

C. Quorum

The quorum required to discuss and vote on all personnel decisions within a TIU is determined by each TIU.

D. Recommendation from a TIU's Committee of Eligible Faculty

In all votes taken on personnel matters only "yes" and "no" votes are allowed. Abstentions are not allowed. If an eligible faculty member cannot vote either "yes" or "no" they must recuse themselves from voting on a personnel matter.

Absentee ballots and proxy votes are not permitted but participating fully in discussions and voting via remote two-way electronic connection are allowed.

1. Appointment

The portion of positive votes required for a candidate to receive a positive recommendation from the eligible faculty for appointment is determined by each TIU.

- In the case of joint appointments, the TIU of a jointly appointed candidate must seek input from the joint-appointment TIU prior to the appointment of that candidate.

2. Reappointment, Promotion and Tenure, and Promotion

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, and promotion is determined by each TIU and defined in its APT document.

- In the case of joint appointments, the TIU of a jointly appointed candidate must seek input from the joint-appointment TIU prior to the reappointment, or promotion and/or tenure of that candidate.

IV. Appointments

A. Criteria

The College is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the TIU and advance the mission of the College. 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, enhance the research and teaching mission of the academic unit and the college; and attract other outstanding faculty and students to the TIU. No offer will be extended if the search process does not yield one or more candidates who would enhance the quality of the TIU. The search is either cancelled or continued, as appropriate to the circumstances, as determined by the Dean. Faculty appointments are recommended by TIU heads to the dean along with information about the search and faculty support for the appointment. Appointments at the senior rank require OAA approval. The dean signs all letters of offer.

For each type of faculty appointment it makes, a TIU's APT document must describe: (1) the unit's criteria for making such an appointment, (2) the evidence to be provided in support of such an appointment, and (3) the unit's procedures for making such an appointment. It is the expectation of the college that a faculty appointment forwarded from a TIU for approval by the college or a courtesy faculty appointment made by a TIU will have been made consistent with that TIU APT document, and other relevant policies, procedures, practices, and standards established by the college, the Rules of the University Faculty, the Office of Academic Affairs, and the Office of Human Resources.

The appointment of all compensated tenure-track, clinical/teaching/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 TIU 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 TIU's eligible faculty, the TIU head, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted except through an approved request to extend the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the TIU and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the TIU's Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged, as it cannot be revoked once granted except through an approved request to extend the probationary period.

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

Appointment offers at the rank of associate professor or professor require that the individual, at a minimum, meet the TIU's criteria in teaching, scholarship, and service for promotion to these ranks.

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

Appointments at the rank of professor without tenure are not possible.

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

2. Clinical Faculty

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

The POA of each TIU that appoints clinical faculty must describe the governance rights to be extended to its clinical faculty. If the TIU wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. TIUs may determine the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). For more information see Faculty Rule [3335-7](#).

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

Assistant Clinical Professor. Appointment as assistant clinical professor requires that the individual have at a minimum, a doctorate in a field appropriate to the subject matter to be taught along with evidence of the ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Evidence of teaching effectiveness and knowledge of current research impacting practice within the field of study are desired.

Associate Clinical Professor and Clinical Professor. Appointment as associate clinical professor and clinical professor requires that the individual have at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction. Evidence of the following is also required: current knowledge of research impacting practice with the field of study; ongoing

engagement with practitioners in relevant context; sustained high-quality teaching; high-quality and impactful service both within and outside the university. For appointments at clinical professor rank, a candidate should have, in addition to the above, evidence of high-quality and impactful service at local, state, or national level. Appointments at the rank of associate clinical professor or clinical professor must be approved by the Dean and require prior approval of the Office of Academic Affairs.

3. Research Faculty

Appointment of research faculty entails one- to five-year appointments. The initial appointment is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent appointments will be offered, regardless of performance.

The POA of each TIU that appoints research faculty must describe the governance rights to be extended to its research faculty.

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

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

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

4. Associated Faculty

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

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

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

appointment at that rank. The initial appointment for a lecturer cannot exceed one year. Second and subsequent contracts for lecturers cannot exceed three years.

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

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

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointments of tenure-track faculty. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three years at 100% FTE.

5. Regional Campus Faculty

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

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

6. Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule [3335-5-36](#). Full-time tenure track, clinical, 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 TIU head (regional campus dean for associated faculty on regional campuses) outlining academic

performance and citizenship. The faculty eligible to conduct promotion reviews within the requestor's appointment type (see Section III.A.1-4) will review the application and make a recommendation to the TIU head. The TIU head 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 [3335-05-04](#), 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.

7. Joint Appointments

A joint faculty appointment is defined as one in which a faculty member has a compensated FTE appointment in two or more TIUs. 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 way 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.

8. Courtesy Appointments for Faculty

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

B. Procedures

The appointment of all compensated tenure-track, clinical, 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.

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

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

1. Tenure-track Faculty on the Columbus Campus

A national search is required to ensure a diverse 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](#). TIUs must seek exceptions to this policy from 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](#).

Within all TIUs of the college, searches for tenure-track faculty proceed as follows:

The dean provides approval for a TIU to commence a search process. This approval may or may not be accompanied by constraints regarding salary, rank, and field of expertise.

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

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 AA/EEO Recruitment and Selection Guidelines in the Buckeye Learn system.

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

- “Phase 1 | Search Preparation & Proactive Recruitment” is the earliest stage in the search process. Key steps during this phase include determining faculty needs for the unit, creating a search strategy (including timeline), establishing a budget, and identifying additional partners to include in the process. The steps in this phase provide guidance on forming committees, detail training requirements for search committee members, and innovative approaches to advertising and outreach. This section also includes ideas and resources for developing qualified, diverse talent pools

to ensure alignment with the university's commitment to AA/EEO principles and advance the eminence of the institution.

- “Phase 2 | Preliminary Review of Applicants” focuses on best practices for the application review and candidate screening processes. The guidelines and resources in this section support consistency, fairness, and equity in the review, assessment, and selection of candidates moving forward in the recruitment process. This section also outlines how to select a list of candidates for on-campus interviews.
- “Phase 3 | Finalists Interviews & Evaluations” provides guidance and tools for conducting interviews and campus visits, requesting reference letters (if not requested earlier in the application stage), and collecting feedback from everyone who interacted with the candidates. Adherence to the guidelines outlined in this section has a direct impact on enhancing the candidate's experience and ensuring a consistent evaluation process. This phase concludes with the submission of a letter from the search committee to the TIU chair/director.
- “Phase 4 | Extend Offer” provides guidance and resources related to effectively selecting the most qualified candidate(s) for the position(s) and successfully negotiating to result in an accepted offer.
- “Phase 5 | Preboard and Onboard” offers resources to help prepare and support new faculty as they transition to Ohio State. The suggestions in this phase focus on creating a seamless transition for incoming faculty and their partners/families, if applicable.
- “Phase 6 | Reflect and Assess the Search” is a process supported by OAA to reflect on the hiring cycle each year and evaluate areas that may need improvement and additional support.

If the offer involves senior rank, the eligible faculty members vote on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the TIU head.

Appointments at the rank of associate professor, with or without tenure, or professor with tenure, and/or offers of prior service credit require prior approval by the college dean and the Office of Academic Affairs.

In the event that more than one candidate achieves the level of support required to extend an offer, the TIU head recommends to the Dean which candidate to approach first; the Dean decides which candidate to approach first. The details of the offer, including compensation, are determined by the TIU head after consultation with the dean of the college.

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

2. Clinical Faculty on the Columbus Campus

Searches for Clinical Faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the interview is on clinical teaching practice rather than scholarship.

3. Research Faculty on the Columbus Campus

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

4. Transfer from the Tenure-track

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the TIU head, the dean, and the executive vice president and provost.

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

Transfers from a clinical appointment and from a research appointment to the tenure-track are not permitted. Clinical and Research Faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

5. TIU Transfer

Following consultation with the TIU heads and college dean(s), a tenure-track faculty member may voluntarily move from one TIU to another upon approval of a simple majority of the eligible faculty in the receiving TIU. The eligible faculty in such cases are the tenure-track faculty eligible to vote on faculty appointments at the transferee's rank. See Section III.A.1 above.

The transfer must be approved by the Office of Academic Affairs and is dependent on the establishment of mutually agreed-upon arrangements among the affected TIU heads, college dean(s), and faculty members. An MOU signed by all parties, including the Office of Academic Affairs, must describe in detail the arrangements for the transfer. Approval will be dependent on whether satisfactory fiscal arrangements for the change have been made. Since normally the transferring faculty member will fill an existing vacancy in the receiving unit, the MOU will describe the resources supporting the position, including salary, provided by the receiving unit.

The Office of Academic Affairs can provide guidance to non-tenure-track faculty about the process for transferring from one TIU to another.

6. Associated Faculty on the Columbus Campus

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 TIU head based on recommendation from the search committee.

The reappointment of all compensated associated faculty is decided by TIU heads in consultation with an appropriate TIU committee as described in the TIU's approved APT document.

Appointment of uncompensated adjunct or visiting faculty is governed by procedures as described in the TIU's approved APT document.

Compensated 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 consecutive years.

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

7. Regional Campus Faculty

The appointment of all compensated regional campus faculty follows a formal search following the [SHIFT](#) Framework, which includes a job posting in [Workday](#) and candidate interviews.

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

Candidates are interviewed by, at a minimum, the regional campus dean/director, TIU head, and either the regional campus search committee or a broader representation of the regional and Columbus faculties. The regional campus may have additional requirements for the search not specified in a TIU's Appointments, Promotion and Tenure document. A hiring decision requires agreement by the TIU head and regional campus dean. Until the agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the TIU head and the regional campus dean.

Searches for regional campus clinical faculty, research and associated faculty are the same as those described above for tenure-track faculty.

8. Joint Appointments

A TIU 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 depend on whether satisfactory fiscal arrangements have been made.

9. Courtesy Appointments for Faculty

Any faculty member within a TIU may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State TIU. A proposal describing the uncompensated academic service that justifies the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the TIU head extends an offer of appointment. A TIU head will review all courtesy appointments every three years to determine whether they continue to be justified and take recommendations for nonrenewal before the faculty for a vote at a regular meeting.

V. Annual Performance and Merit Review Procedures

It is the expectation of the college that annual performance and merit reviews will be consistent with a TIU's APT document and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

All TIUs within the college must follow the requirements for annual performance and merit 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 for all probationary faculty, an opportunity for a face-to-face meeting for all other compensated faculty members, 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.

TIU heads may designate the responsibility for annual performance and merit reviews to appropriate unit administrators. The designee or a subcommittee of the eligible faculty may provide a written assessment to the TIU head. However, unless the Office of Academic Affairs has granted an exception to a large unit (more than 50 probationary faculty), the TIU head must schedule a face-to-face meeting with all probationary faculty as part of the review. An opportunity for a face-to-face meeting with the TIU head or the TIU head's designee must be provided to all tenured and non-probationary faculty.

In all cases, accountability for the annual performance and merit review process resides with the TIU head.

- Depending on a faculty member's appointment type, the review is based on expected performance in teaching, scholarship, and/or service as set forth in the TIU's guidelines on faculty duties, responsibilities, and workload; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.
- Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.
- Annual performance and merit reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment.
- Per Faculty Rule [3335-3-35](#), TIU heads are required to include a reminder in annual review letters 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.

The dean must assess an annual performance and merit review when a TIU has submitted (1) a Report of Non-Renewal of Probationary Appointment of Faculty; (2) the fourth-year review of a probationary faculty member; or (3) a Report of Contract Renewal or Non-Renewal for Clinical Faculty or research faculty. In each of these cases, the decision of the dean is final.

A. Documentation

For their annual performance and merit review, the college requires compensated faculty members to submit the following documents to their TIU head no later than the final day of autumn semester classes:

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

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. That documentation is described in Section VI of each TIU's APT 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 on the Columbus Campus

Every probationary tenure-track faculty member must be reviewed annually by procedures described in the TIU's APT document. These procedures must include a review by the TIU head (or designee in large units; see Section V above), who meets with the faculty member to discuss his or her performance, future plans and goals. The TIU head's review may be informed by a review conducted by a faculty promotion and tenure committee, as described in the TIU's APT document. The TIU head prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. The role of any other faculty member in the annual review of probationary faculty must be described in a TIU

APT document and must be consistent with college and university rules. If any part of the responsibilities of the probationary tenure-track faculty member's workload involves teaching, the annual review of probationary tenure-track faculty must include and be informed by a peer evaluation of teaching following procedures described in the TIU's APT document.

If the TIU head recommends renewal of the appointment, this recommendation is final. The TIU 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 letter should also include specific recommendations for the faculty members' trajectory toward promotion and tenure. At each annual review meeting, the recommendations for the previous year's review letter should be discussed. The faculty members may provide written comments on the review. The TIU head's letter (along with the faculty members' comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

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

1. Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean (not the TIU head) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are only solicited when either the TIU head or the TIU promotion and tenure committee determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or there is reason to believe that the eligible faculty would be capable of evaluating the scholarship without outside input.

The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment. The eligible faculty forwards a record of the vote and a written performance review to the TIU head. Regardless of the recommendation, the letter from the Committee of Eligible Faculty to the TIU head must include recommendations regarding the faculty member's trajectory toward promotion and tenure.

The TIU head conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. Regardless of the recommendation, the TIU head's letter must include recommendations regarding the faculty member's trajectory toward promotion and tenure. At the conclusion of the TIU 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 TIU head recommends renewal or nonrenewal.

If either the TIU head or the dean recommends nonrenewal of a faculty member's probationary contract, the case will be referred to the college's Promotion and Tenure Committee, which will review the case, vote and make a recommendation to the dean. The dean makes the final decision regarding renewal or nonrenewal of the probationary appointment.

2. Extension of the Tenure Clock

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

C. Tenured Faculty on the Columbus Campus

Each TIU APT document must describe procedures for the annual review of associate professors. These procedures must include a review of teaching (including a peer evaluation of teaching), research, and service, and a written performance review by a faculty committee consisting of professors. The written performance review along with comments on the faculty member's progress toward promotion is submitted to the TIU head. The TIU head or their designee conducts an independent assessment; meets with the faculty member to discuss his or her performance, future plans and goals; and prepares a written evaluation on these topics. Both the faculty committee's written performance review and the TIU head's (or designee's) written evaluation must include recommendations intended to guide the faculty member toward promotion. The faculty members may provide written comments on the review.

Professors are reviewed annually by the TIU head or designee, who may meet with the faculty member to discuss his or her performance, future plans and goals. The annual review of professors is based on their having achieved sustained excellence and ongoing outcomes in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by ongoing national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and ongoing outstanding service to the TIU, 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, interacting with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest-ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

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

D. Clinical Faculty on the Columbus Campus

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

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

TIUs may determine the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). There is no presumption of renewal of contract.

E. Research Faculty on the Columbus Campus

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, respectively, except that non-probationary research faculty may participate in the review of research faculty of lower rank.

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

TIUs may determine the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). There is no presumption of renewal of contract.

F. Associated Faculty on the Columbus Campus

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

Compensated associated faculty members on a multiple year appointment (or hired annually for multiple years) are reviewed annually by the TIU head or designee. The TIU head or designee prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans and goals. No later than October 15 of the final year of the appointment, the TIU head will decide whether to reappoint. The TIU head's recommendation on reappointment is final.

G. Regional Campus Faculty

Regional campus tenure-track faculty are reviewed according to the process established on that campus, with the review focusing on teaching and service. Following the review by the regional campus, the regional campus dean meets with the TIU head for each regional campus faculty member for evaluation of the faculty member's research and creative activity during the review period. The regional campus dean provides an annual performance and merit review letter. In the event of divergence in performance assessment between the regional campus and the TIU, the TIU head discusses the matter with the regional campus dean/director to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice. For probationary tenure-track faculty, in the event that the regional campus dean recommends renewal, and the TIU head recommends nonrenewal, the case shall be reviewed by the college dean or their designee, with the college dean's or their designee's judgment prevailing.

Regional campus clinical faculty are reviewed according to the process established on that campus, with the review focusing on teaching and service. The regional campus dean will provide the TIU head with a copy of a clinical faculty member's annual performance and merit review letter.

The annual performance and merit review of regional campus research faculty takes place on the Columbus campus and follows the same procedures as those described above for Columbus campus research faculty. Following the review, the TIU head will consult with the regional campus dean/director. The TIU head will provide the regional campus dean/director with a copy of the faculty member's annual performance and merit review letter.

Regional campus associated faculty are reviewed according to the process established on that campus, with the review focusing on teaching and service, as applicable.

H. Salary Recommendations

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

It is the expectation of the college that merit salary increases, and other rewards made by a TIU will be made consistent with the TIU's APT document and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

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

VI. Promotion and Tenure and Promotion Reviews

A. Criteria

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

In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphasis 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.

In accordance with Faculty Rule [3335-6-02\(E\)](#), each TIU must have an APT document that describes (1) the unit's criteria for the award of tenure and promotion to the rank of associate professor, and (2) the unit's criteria for promotion to the rank of professor. Each TIU with Clinical Faculty must have in its APT document the unit's criteria for promotion to the rank of associate professor and professor for its Clinical Faculty. Each TIU with research faculty must have in its APT document the unit's criteria for promotion to the rank of associate professor and professor for its research faculty. Each TIU with regional campus tenure-track faculty must have in its APT document the unit's criteria and procedures associated with promotion and tenure of such faculty. TIU APT documents also must include the evidence to be provided in support of each of the foregoing actions that are relevant to that unit.

The purposes of the college-level promotion and tenure and promotion reviews are: (1) to determine whether the TIU has conducted its review and reached a recommendation consistent with University, college, and unit standards, criteria, policies, and rules; and (2) to determine where the weight of the evidence lies in cases in which there is not a clear or consistent recommendation from the TIU. If the conclusion of the college-level review is that the recommendation of the unit is not consistent with university, college, and TIU standards, criteria, policies, and rules, the dean may make a recommendation that is contrary to the recommendation of the TIU.

For each category of faculty appropriate to a TIU of this college and in a manner consistent with this document, a TIU's APT document must describe, as detailed below, (1) the criteria for promotion and tenure, as appropriate to the specific TIU; (2) the types of documentation that demonstrate impact and show that criteria have been met; (3) the levels of achievement necessary to meet the stated criteria within the context of the TIU's mission, the standards of Chapters 6 and 7 of the Faculty Rules, the standards and mission of the college, and the mission of the University; and (4) criteria for evaluation of joint appointment candidates.

The standards of quality and effectiveness required must be representative of high performance. When a TIU forwards the dossier of a candidate for review and has recommended that promotion and tenure or promotion be granted, the college expects that the TIU has ensured that the evidence of the qualifications and performance of the candidate meet or exceed the TIU and college criteria applicable to the nomination.

1. Promotion to Associate Professor with Tenure

Promotion to associate professor with tenure in the College of Education and Human Ecology requires excellence in both scholarship and teaching, where scholarship is defined as research, scholarly, and/or creative work. The promise of excellence in service is desirable.

Excellence in scholarship means attainment of measurable national or international recognition based on an appropriate amount and rate of high-quality published research and/or other relevant creative endeavors. A successful candidate will have an emerging national reputation. Excellence in teaching means the provision to all students of the opportunity to realize their full capabilities for learning and, for the most capable and motivated students, an enhanced learning experience. Excellence in service means the provision of a high level of professional expertise and experience to the University, the community, the state and nation, and professional organizations. The service contribution during the probationary period of assistant professors is limited by design. The most important judgment is that the candidate will achieve excellence in service in the future.

The substantial probability that a high rate of quality scholarship and/or creative activity and excellence in teaching and service will continue needs to be established. The claim that the retention of the candidate will improve the overall quality and standing of the unit needs to be supported.

Excellence in teaching, scholarship, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the [American Association of University Professors' Statement on Professional Ethics](#).

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

2. Promotion to Professor

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

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

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

Each TIU APT document needs to describe specific criteria about work applicable especially to senior faculty within the TIU, the college, and university, e.g. doctoral level advising, university and professional service, and appropriate levels of leadership.

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

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

3. Clinical Faculty

Each TIU must establish criteria for the promotion of clinical faculty to the ranks of associate clinical professor and clinical professor as described below.

Promotion to Assistant Clinical Professor

For promotion to assistant clinical professor, a faculty member has completed his/her/their doctoral degree or Master's degree and meet the required licensure/certification in his/her/their specialty and be performing satisfactorily in teaching, professional practice, and service. Promotion will entail the generation of a renewed contract. There is no presumption of a change in contract terms.

Promotion to the rank of Associate Clinical Professor

For promotion to associate clinical professor, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of the TIU. Specific criteria in teaching and services for promotion to associate professor are like those for promotion to associate professor on the tenure-track. Scholarship activity is not expected. Promotion will entail the generation of a renewed contract. There is no presumption of a change in contract terms.

Promotion to the rank of Clinical Professor

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

4. Research Faculty

Promotion to Research Associate Professor

Promotion to research associate professor requires excellence in scholarship. There is an expectation of a record of significant external support for research and a substantial probability that external support for research will continue. The claim that retention of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported. Promotion will entail the generation of a renewed contract. There is no presumption of a change in contract terms.

Promotion to Research Professor

Promotion to research professor requires excellence in scholarship. There is an established record of significant external support for research and a substantial probability that external support for research will continue. The claim that promotion of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported. Promotion will entail the generation of a renewed contract. There is no presumption of a change in contract terms.

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, clinical, or research faculty, as appropriate to the appointment, above.

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

Promotion to Senior Lecturer. Lecturers may be promoted to senior lecturers 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.

6. Regional Campus Faculty

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus tenure-track faculty for promotion and tenure or promotion, TIUs will give greater emphasis to the quality of teaching and service relative to scholarship. Recognizing that the quantity of scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the college nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

In evaluating the regional campus clinical faculty and research faculty for promotion, TIUs will use the same criteria as described above for the promotion of faculty in each of these categories. Regional campus associated faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean. The decision of the regional campus dean is final.

B. Procedures

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

1. Tenure-Track, Clinical, and Research Faculty on the Columbus Campus

a. Candidate Responsibilities

Candidates are responsible for submitting a complete, accurate dossier and providing a copy of the APT document under which they wish to be reviewed, if other than their TIU's current document. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to their TIU's guidelines. Each of these elements is described in detail below.

- **Dossier**

Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs [dossier outline](#). 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.

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

TIUs will require unit-appropriate documentation. It is the responsibility of the TIU to evaluate and verify this documentation.

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

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

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

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

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

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

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

- **External Evaluations**

If external evaluations are required candidates are responsible for reviewing the list of potential external evaluators developed according to TIU guidelines. 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 TIU head decides whether removal is justified. (Also see External Evaluations below.)

b TIU Promotion and Tenure Committees' Responsibilities

For TIUs within the College of Education and Human Ecology, the responsibilities of the Promotion and Tenure Committee are as follows:

- To review the TIU's APT document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured faculty member may be denied a formal promotion review under Faculty Rule [3335-6-04](#)^{A(3)} only once. Faculty Rules [3335-7-08](#) and [3335-7-36](#) make the same

provision for non-probationary clinical and research faculty, respectively. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.

- A decision by the committee to permit a review to take place in no way commits the eligible faculty, the TIU head, or any other party to the review to make a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described [here](#).
 - **Late Spring:** Suggest names of external evaluators to the TIU head. The external evaluators will be drawn predominantly from the lists of peer and aspirational peer programs (see Section VI.B.4 below). Justification will be provided in cases when a suggested evaluator is from a program not included on these lists.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Meet with each candidate for clarification as necessary and provide the candidate with an opportunity to comment on his/her/their dossier. This meeting is not an occasion to debate the candidate's record.
 - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
 - Consider the interdisciplinary work of a candidate across multiple units as part of the whole work, especially if the candidate has a joint appointment in another unit or is a member of a Discovery Theme.
 - Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the TIU head.
 - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
 - Provide a written evaluation and recommendation to the TIU head in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases.

- All TIU-level Promotion and Tenure Committee members shall participate in training on the P&T process offered by either the College or OAA each year they serve on the TIU's Promotion and Tenure Committee. It is recommended that the TIU-level Promotion and Tenure Committee include a clinical faculty member when reviewing clinical faculty promotion cases.

c TIU Eligible Faculty Responsibilities

For TIUs within the College of Education and Human Ecology, the responsibilities of the members of the eligible faculty during promotion and tenure reviews are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

d. TIU Head Responsibilities

The responsibilities of the TIU heads in the College of Education and Human Ecology during promotion and tenure reviews are as follows:

- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. For tenure-track assistant professors, TIU heads are to confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an [MOU](#) at the time of promotion with tenure.
- Late Spring Semester: To solicit external evaluations from a list including names suggested by the TIU Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- To review faculty with budgeted joint appointments. The TIU head in the primary appointment unit will seek a letter of evaluation from the TIU head of the joint appointment unit. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on impact of the work of the individual in the field of the joint unit.
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. A TIU head will leave the meeting to allow open discussion among the eligible faculty members.

- Mid-Autumn Semester: To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the TIU review process:
 - Of the recommendations by the eligible faculty and TIU head.
 - Of the availability for review of the written evaluations by the eligible faculty and TIU head.
 - Of the opportunity to submit written comments on the above material, within ten days of receipt of the letter from the TIU head, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the TIU head, indicating whether he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the TIU head's independent written evaluation, to the head of the other tenure initiating unit by the date requested.

e. College of Education and Human Ecology Promotion and Tenure Committee Responsibilities

- The College of Education and Human Ecology Promotion and Tenure Committee is comprised of twelve tenured professors appointed by the Dean (see Section III, B for additional details). Appointees must be members of the Graduate faculty and hold a 50% or more appointment in a TIU of the college. Except for the associate dean for faculty affairs, who will facilitate the meeting and serve as an ex-officio member of the committee, no administrative appointees are eligible to serve as committee members.
- Once the committee is constituted, the associate dean for faculty affairs will appoint a Procedures Oversight Designee (POD) and at least one primary reader and one secondary reader for each case. It is expected that all panel members have examined all OAA Approval dossiers being discussed. A draft of the report outlining the case may be prepared by the primary reader in advance and serve as the basis for the discussion of each case.
- The committee will review the materials provided by the TIUs for promotion and tenure consideration. These will be prepared in a manner spelled out by the TIU's Appointments, Promotion, and Tenure: Criteria and Procedures document.
- Once materials are submitted to the college for review, except for questions regarding procedural errors and/or the availability of significant new information, no further consultation with TIU heads or committees substantive matters should take place. This ensures that the levels of review are independent.

- Any committee member from a candidate's TIU will be ineligible to participate in any discussion of the case, including procedures, policies, or culture of the TIU. Only the dossier material should be discussed and evaluated.
- Should questions arise with respect to procedural errors (those that reasonably could have affected the outcome), they should be addressed before the review continues. The error should be corrected at the level of the review at which it occurred. The case should be fully reconsidered from that point on. If internal letters have been generated at that level of review and beyond, they should be saved but not included in the dossier. The new written evaluations should note that reconsideration took place because of a procedural error and state the nature of that error. The comments process must be repeated for the new internal letters.
- Should there be significant new information, the record may be amended; however, all parties to the review process must review an amended record. If the information becomes available after a case has left the TIU, the college committee may return the case to the TIU.
- The associate dean for faculty affairs will preside over the committee's discussion of each case. The criteria to be applied are outlined above and require excellence in scholarship, teaching, and service. The associate dean for faculty affairs will be responsible for preparing the written report of the committee's assessment and vote. Only "yes" and "no" votes on the recommendation to tenure and/or promote candidates are allowable; abstentions are not allowed among committee members.
- After the college committee completes its work, the associate dean for faculty affairs shall advise the dean on tenure and promotion for each candidate. Following that consultation, the dean shall make a final recommendation in writing to the executive vice president and provost.
- Fourth-year reviews will follow the above procedures with one exception. The final decision with respect to reappointment will rest with the dean. There is no comments process following the final decision.

f. Dean's Responsibilities

- Upon the receipt of a dossier from a TIU on a candidate for promotion and/or tenure, the dean will submit the dossier to the college promotion and tenure committee for review.
- The dean will consider the recommendations of the committee. Decisions with respect to promotion for tenure-track, clinical, and research faculty shall be forwarded to the executive vice president and provost, who shall review the decision consistent with review procedures set forth in Faculty Rules [3335-6-03](#) and [3335-6-04](#). Any decision of the executive vice president and provost shall be final.
- Once the dean completes his or her letter to the executive vice president and provost, the dean will inform the candidate and the TIU head of the completion of the college-level review and of the availability of the reports. The candidate

and TIU head will be provided with copies of those reports. University rules and OAA guidelines regarding the comments process will then be followed.

- When a promotion and tenure decision is negative, the dean must advise the candidate of his or her right to appeal and of his or her final date of employment under the seven-year rule (if applicable).

2. Procedures for Associated Faculty on the Columbus Campus

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

3. Procedures for Regional Campus Faculty

The responsibilities of regional campus candidates are the same as those of a Columbus campus candidate as described above.

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

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

The review of regional campus research faculty takes place on the Columbus campus and follows the same procedures as those described above for Columbus campus research faculty. Following the review, the TIU head will consult with the regional campus dean. A request to promote requires an agreement by the regional campus dean and the TIU head.

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

4. External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews and all research faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical or associated faculty members unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical or associated faculty member will be made by the TIU head after consulting with the candidate and the chair of the eligible faculty.

TIUs within this college will seek external evaluations predominately from evaluators in peer and aspirational peer programs as specified in the Appointments, Promotion, and Tenure document of each unit. Justification will be provided whenever a suggested evaluator is from a program not so specified.

A conflict of interest for external reviewers exists if the reviewer is or has been to the candidate: a) a thesis, dissertation, or postdoctoral advisee/advisor; b) a research collaborator, which includes someone who has been a coauthor on a publication within the past 3 years, including pending publications and submissions; c) a collaborator on a project within the past 3 years, including current and planned collaborations; d) in a consulting/financial arrangement with the candidate within the past 3 years, including receiving compensation of any type (e.g., money, goods, or services); e) a relative or close personal friend; or f) in any relationship, personal or professional, that could reduce the reviewer's objectivity. Also excluded are reviewers from the same institution, or those who had previous employment in the same institution within the past 12 months, or those who are being considered for employment at that institution.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close friend, research collaborator, or former academic advisor or post- doctoral mentor of the candidate (see description of conflict of interest for external reviewers above). Qualifications are generally judged based on the evaluator's expertise, record of accomplishments, and institutional affiliation. This college's TIUs will solicit evaluations from professors with institutional affiliations predominantly in the programs specified in their Appointments, Promotion and Tenure document. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

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

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the TIU head, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. If the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor the college requires that the dossier contain letters from evaluators suggested by the candidate.

TIUs will follow the Office of Academic Affairs suggested format for letters requesting external evaluations. A sample letter for tenure-track and research faculty can be found [here](#). A sample letter for clinical faculty can be found [here](#).

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

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

VII. Promotion and Tenure and Reappointment Appeals

Faculty members who believe they have been evaluated improperly for tenure, promotion, or reappointment may appeal a negative decision to the University Senate Committee on Academic Freedom and Responsibility.

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

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

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

VIII. Seventh-Year Reviews

Faculty Rule [3335-6-05](#) (B) 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) form is required in every course offered in the TIUs of this college except for independent studies and research apprenticeships. As SEI evaluations are conducted on-line, the instructor should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation. College encourages the use of multiple means for student evaluation of teaching.

B. Peer Evaluation of Teaching

The TIU heads oversee their unit's peer evaluation of teaching process.

Each TIU must establish a procedure for the regular and systematic peer evaluation of teaching to be approved by the Dean. To the extent possible, peer evaluation should involve senior faculty and a peer reviewer should be of equal or higher rank than the faculty member being reviewed.

The procedure for the regular and systematic peer of teaching needs to incorporate the following responsibilities:

- To review the teaching of probationary tenure-track, clinical faculty and associated faculty at least once per semester during the first two years of service, and at least once per year during the remainder of the probationary period.
- To review the teaching of tenured associate professors and non-probationary assistant and associate clinical professors at least once per year, with the goal of assessing teaching at all the levels of instruction (undergraduate, masters, doctoral) to which the faculty member is assigned over a three-year period.
- To review the teaching of tenured professors and non-probationary clinical professors at least once every four years.
- To review the teaching of associated faculty at least once per year.
- To review, upon the TIU head's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits; reviews conducted at the request of the faculty member are considered formative only; the TIU 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 [Drake Institute for Teaching and Learning](#).

Reviews conducted at the request of the TIU 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 promotion and tenure committee chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.

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

The effectiveness of the peer teaching evaluation procedures outlined above is strengthened if the TIU develops worksheets for use in evaluating the various aspects of instruction. The [Drake Institute for Teaching and Learning](#) helps in such endeavors and TIUs are encouraged to make use of this resource.