

# **Appointments, Promotion, and Tenure**

## **Criteria and Procedures for The Ohio State University**

### **SCHOOL OF EARTH SCIENCES**

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## **I Preamble**

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

Should those rules and policies change, the school will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the school director.

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the school's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the school and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to school mission and criteria.

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

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

The Director of the School of Earth Sciences will generally consult with the Advisory and/or Administrative Committee on any changes to this document pertaining to appointments, performance and merit review and promotion. The compositions of the Advisory Committee and Administrative Committee are described in the School of Earth Sciences (POA) document.

## **II School Mission**

The School of Earth Sciences aims to be a globally preeminent program in Earth and Geodetic Sciences at the forefront of knowledge creation and dissemination, education, and training focused on humanity's greatest problems (e.g., climate change, adaptation & evolution, sustainable energy, water, mineral, & elemental resources).

Our mission is to:

- Advance understanding of Earth as a dynamic and complex system of interconnected physical, chemical, and biological processes that shape the evolution of past and present life forms and landscapes;
- Collect and assimilate geospatial measurements across time with high levels of accuracy and precision;

- Act on scientific data, in our educational and research endeavors, in ways that promote environmental stewardship, social justice, and sustainability of the Earth's resources;
- Assess human impact on the Earth system, and the implications of climate change adaptation on the biosphere, society, and the economy;
- Develop and implement strategies and technologies that mitigate or solve humanity's grand challenges (e.g., climate change, water supply, energy security, resources) with an eye towards helping underserved populations and communities most vulnerable to these grand challenges;
- Educate the next generation of scientists, researchers, teachers, policy makers, entrepreneurs, and professionals through the use of practices that encourage and promote participation of students and professionals from all groups;
- Promote scientific literacy and data-driven, evidence-based decisions within the diverse populace of the state of Ohio, our nation, and worldwide.

Collegiality, civility, mutual support, and respect for others are strongly held values within the School of Earth Sciences. At the heart of our mission, is a [Code of Conduct](#) to ensure that all members of the School of Earth Sciences (faculty, staff, students, alumni, etc.) feel welcome and included in all School activities regardless of location (e.g., on campus, off campus conferences, in the field, etc.). The School of Earth Sciences rejects all forms of discrimination, harassment, and bullying. We affirm support for diverse beliefs, academic freedom of expression, and the free exchange of ideas (including critical discussion of ideas) as long as these are respectful, constructive, and professional.

### **III Definitions**

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

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

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

#### **1 Tenure-track Faculty**

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

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

### **Reappointment, Promotion, or Promotion and Tenure Reviews**

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

## **2 Teaching Faculty**

### **Initial Appointment Reviews**

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

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

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

## **3 Research Faculty**

### **Initial Appointment Reviews**

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

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

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

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

## **4 Associated Faculty**

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

- Initial appointment (hiring or appointment change from another faculty type), reappointment, and contract renewal of associated faculty members are decided by the school director following a vote of the committee of eligible faculty.
  - On initial appointment, eligible faculty are all those with teaching titles and all tenure-track faculty members.
  - For reappointments and contract renewals, the eligible faculty are all those with nonprobationary teaching titles and tenured faculty members of equal or higher rank than the candidate.
- Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary teaching faculty and tenured faculty of equal or higher rank than the position requested) and prior approval of the college dean.

### **Promotion Reviews**

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

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

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

The promotion of a lecturer to senior lecturer is decided by the school director in consultation with the Administrative and/or Advisory Committees in the School of Earth Sciences.

## **5 Conflict of Interest**

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

## **6 Minimum Composition**

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

## **B Promotion and Tenure Committee**

The School of Earth Sciences does not have a Promotion and Tenure Committee. The P&T Chair is appointed by the school director and assists the eligible faculty in managing the personnel and promotion and tenure issues. The term of service is normally three years, with reappointment possible. See POA for more details.

When considering cases involving research faculty or teaching faculty the P&T Chair may be assisted by up to two nonprobationary research or teaching faculty members who are appointed by the school director.

## **C Quorum**

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. This includes faculty who participate by teleconference or videoconference. Faculty on approved leave are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the school director has approved an off-campus assignment.

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

## **D Recommendation from the Eligible Faculty**

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

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

Votes should be cast using an electronic survey administered by the Administrative Manager in the School of Earth Sciences (see ). In some instances, votes may be permitted to be cast by emailing the Administrative Manager using the email account provided by the university.

## **1 Appointment**

A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the votes cast are positive.

- In the case of a joint appointment, the school must seek input from a candidate's joint-appointment TIU prior to his or her appointment.

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

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when 60% of the votes cast are positive.

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

## **IV Appointments**

### **A Criteria**

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

#### **1 Tenure-track Faculty**

**Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. Procedures for appointment are identical to that of assistant professor. The school will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. An instructor must be approved for promotion to assistant professor by the beginning of the third year, or the appointment will not be renewed and the third year is the terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the school's eligible faculty, the school director, 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 exclude time from the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

**Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the school and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. For individuals not recommended for promotion and tenure after the mandatory review, the 7<sup>th</sup> year will be the final year of employment.

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

**Associate Professor and Professor.** Appointment at senior rank requires that the individual, at a minimum, demonstrate the same accomplishments in teaching, scholarship/research and service as persons promoted to these ranks within the school. There needs to be strong evidence that appointment at senior rank will improve the overall quality and standing of the school and a high rate of quality scholarship, teaching, and service will continue after the appointment to senior rank. Appointment offers at the rank of Associate Professor or Professor and offers of prior service credit require prior approval of the Office of Academic Affairs.

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

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

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

## **2 Teaching 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 teaching 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 teaching professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for teaching professors must be for a period of at least three years and no more than eight years. Tenure is not granted to Teaching faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance.

The school supports Teaching Faculty. These appointments exist for faculty members who focus principally on the education needs of students in the school or college. Teaching Faculty members are expected to contribute to the school's research and education mission as reflected in undergraduate and graduate program development and teaching. Teaching Faculty appointments are made in accordance with Faculty Rule [3335-7](#). Each new appointment must enhance, or have strong potential to enhance the quality of the school.

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

**Assistant Teaching Professor.** An earned doctorate and (if applicable) the required licensure/certification in his or her specialty are the minimum requirements for appointment at the rank of assistant teaching professor. Evidence of ability to teach is highly desirable.

**Associate Teaching Professor and Teaching Professor.** Appointment at the rank of associate teaching professor or teaching professor requires that the individual have an earned doctorate and (if applicable) the required licensure/certification in his/her specialty, and meet, at a minimum, the school's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks (see section VI below).

### **3 Research Faculty**

Research faculty members are engaged in research related to the mission and duties of the School of Earth Sciences. 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.

If the School of Earth Sciences wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule [3335-7](#). In establishing the title, the Board of Trustees restricted the duties and responsibilities of research faculty (Faculty Rules 3335-7) placing primary emphasis on research with limited teaching (approval of the school director is required), supervision of graduate students (approval of the Graduate School is required), limited service, and the exclusion of university governance.

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

**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. This research program is expected to substantially fund the salary and benefits of the faculty member.

**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 school's criteria for promotion to these ranks. Expectations for publications and research funding, including salary/benefits, are appropriately greater than for the Research Assistant Professor.

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

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at professional titles is for individuals at 49% FTE or below, either compensated (1 to 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 professional titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

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

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

eligible for tenure or promotion. The initial appointment for a senior lecturer should generally not exceed one year.

**Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.** Visiting faculty appointments may either be compensated or uncompensated.

Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointment of tenure-track faculty.

Visiting faculty members are not eligible for tenure or promotion. Visiting faculty appointments may be renewed annually for only three consecutive years.

## **5 Regional Campus Faculty**

As the mission of the regional campuses emphasizes 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 Teaching 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, teaching, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the school director (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 school director. The director will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-5-04](#), emeritus status will not be considered.

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

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

## **7 Courtesy Appointments for Faculty**

Occasionally the active academic involvement in this school by a tenure-track, teaching, or research faculty member from another unit at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this school. 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. These must be reappointed every 5 years (usually at a faculty meeting in April or May for the coming academic year). Continuation of the appointment should reflect ongoing contributions. Courtesy appointments do not require formal annual review.

## **B Procedures**

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

- recruitment of tenure-track, teaching, research, and associated faculty
- appointments at senior rank or with prior service credit
- hiring faculty from other institutions after April 30
- appointment of foreign nationals
- letters of offer, which should contain a clause that defines the duration that the offer is valid

### **1 Tenure-track Faculty on the Columbus Campus**

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

Searches for tenure-track faculty proceed as follows:

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

The school director appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the school. Ideally, the search committee will include a faculty member from each division of the School of Earth Sciences. Faculty from other departments, Schools, Centers, or Institutes at the university may be appointed by the school director to complement the field of expertise that is the focus of the search.

The search committee:

- Develops a search announcement for internal posting in the university Job Postings through the [Office of Human Resources](#) and external advertising, subject to the school director's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the

announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.

- Develops and implements a plan for external advertising and direct solicitation of nominations and applications.
- Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview.
- If the faculty agrees with this judgment, the proposed slate of potential interviewees is presented to the college dean or division dean, who must approve the list of candidates to invite for interview. If the faculty does not agree with the search committee recommendation for interviewees, the school director in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).
- Virtual or on-campus interviews are arranged by the search committee chair, assisted by the administrative manager of the School of Earth Sciences.

Virtual or on-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the school director; and the dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship, and may teach a class. The latter could be an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format and relevant accommodations for disability/impairment should be provided.

Centers and/or institutes at the university may participate in the hiring of school faculty who might be affiliated with those centers/institutes. The school will seek to invite representatives from relevant centers and/or institutes to participate in all aspects of the search process, including membership on the search committee (as described above). During the recruiting process, candidates who might become affiliates of the center or institute should meet with the director of that center/institute and other relevant faculty.

Following completion of virtual/on-campus interviews, the eligible faculty meet to discuss perceptions and preferences, and to vote on each candidate. A ranked vote is permitted. The eligible faculty reports a recommendation on each candidate to the school director. The school director will then contact the college dean or designee to provide a summary of the interviews and recommendation for hiring.

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

In the event that more than one candidate achieves the 2/3 level of support required to extend an offer, the school director decides which candidate to approach first. Ideally, this decision should be based on vote totals of each candidate, although other factors may also be taken into consideration. The details of the offer, including compensation, are determined by the school director.

The school is advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International Affairs. The university will not grant tenure unless an individual is a (1) U.S. citizen or national; (2) permanent resident (“green card” holder); (3) asylee or refugee; or (4) an individual otherwise described as a “protected individual” pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b). The school will therefore be cautious in making such appointments and vigilant in seeking residency status for the appointee promptly and diligently.

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

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

## **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 interview the focus is mainly/solely on the candidate's research credentials. The candidate is not asked to teach a class during the interview. Exceptions to a national search require approval only by the college dean.

## **4 Transfer from the Tenure Track**

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

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

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

## **5 Associated Faculty on the Columbus Campus**

The appointment, reappointment, and contract renewal of all compensated associated faculty are decided by the school director following a vote of the eligible faculty.

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

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the school and are decided by the school director following a vote of the eligible faculty.

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

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

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

## **6 Regional Campus Faculty**

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

Candidates are interviewed by, at a minimum, the regional campus dean, school director, Columbus campus dean or designee, and regional campus search committee. The candidates must give research and/or teaching presentations at both the Columbus campus and regional campus. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the school director and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the school director and the regional campus dean.

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

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

## **7 Courtesy Appointments for Faculty**

Any school faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, teaching, or research faculty member from another Ohio State tenure-initiating unit. A proposal that describes the uncompensated academic service to this school justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the school director extends an offer of appointment. The school director reviews all courtesy appointments every five years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting. A courtesy appointment is not necessary to serve as a co-advisor or committee member of a graduate student in the School of Earth Sciences.

## V Annual Performance and Merit Review

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

- Assist faculty in improving professional productivity through candid and constructive feedback and through the establishment of professional development plans;
- Establish the goals against which a faculty member's performance will be assessed in the foreseeable future;
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps; and
- Importantly, the annual review process will also be used by the school director to ensure and promote a workplace climate that values and rewards equity-minded faculty workload with respect to teaching and service.

The annual performance and merit review of every faculty member is based on expected performance in teaching, scholarship, and service as set forth in the school's guidelines on faculty duties and responsibilities listed in the POA document; assessment by the School's Faculty Annual Evaluation Committee; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.

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

### A Documentation

For their annual performance and merit review, tenure-track and tenured faculty members in the School of Earth Sciences must submit the following documents to the school director by a date specified by the school director, usually in February:

- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)
- completed Annual Activity Report form (**Appendix A**) listing recent research, teaching (including evidence of teaching effectiveness, which includes student evaluations for all faculty and, in the case of Assistant and Associate Professors faculty, peer teaching evaluations), and service activities over the previous two calendar years; this Annual Activity Report may be supplemented by a one-page summary of the faculty member's accomplishments over this period of time.
  - If deemed necessary by the school director, evaluation of teaching may also be requested of Professors
- probationary faculty must also update their Office of Academic Affairs , [Policies and Procedures Handbook](#), Volume 3

In all cases it is the responsibility of the faculty member to see that professional achievements are brought to the attention of the School of Earth Sciences. Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. That documentation is described in Section VI of this document.

Under no circumstances should faculty solicit evaluations from any party for purposes of the annual performance and merit review, as such solicitation places its recipient in an awkward position and produces a result that is unlikely to be candid.

The school director will review these documents and other evidence as may be required, including consultation, as necessary, with appropriate faculty, Mentor committees, and the Faculty Annual Evaluation Committee. The director will use all of this information as the basis for an annual performance and merit review of each faculty. As noted above, the school director will provide each faculty member with written feedback regarding his or her performance and future plans.

## **B Probationary Tenure-track Faculty on the Columbus Campus**

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

Every probationary tenure track faculty member will also be reviewed annually by their assigned Mentor committee, by the Committee of the Eligible Faculty (in the spring semester), and by the Faculty Annual Evaluation Committee. The POA describes the functions and activities of the mentor committee, committee of eligible faculty, and faculty annual evaluation committee.

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

If the school director recommends nonrenewal, the probationary faculty member must be informed in writing and 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. Nonrenewal letters must be approved by the college Dean in advance of being sent.

### **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 exceptions that external evaluations are optional and the dean (not the school director) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are solicited only when either the school director or the eligible faculty determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input.

The committee of eligible faculty conducts a review of the candidate as supervised by the P&T Chair in consultation with the Procedural Oversight Designee. On completion of the review, the eligible faculty votes by written (or electronic) ballot on whether to renew the probationary appointment.

The P&T Chair forwards a record of the vote and a written performance review to the school director, who conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. This review thus results in two letters of evaluation: one from the P&T Chair and a separate letter from the school director.

At the conclusion of the school review, the formal comments process (per Faculty Rule [3335-604](#)) is followed and the case is forwarded to the college for review, regardless of whether the school director recommends renewal or nonrenewal.

Renewal of the appointment of a probationary faculty member for the fifth year requires the approval of the divisional dean, who serves as the Dean's designee for the review. In cases where the divisional dean concurs with the School of Earth Sciences' recommendations to approve the renewal of the appointment, review by the college divisional P&T review panel is optional and at the divisional dean's discretion. The divisional P&T review panel, however, must review negative reappointment recommendations. The Dean, in consultation with the divisional dean, will make the final decision on non-reappointment.

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

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

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

Associate professors are reviewed annually by the Committee of Eligible Faculty. The mentor committee submits a written performance review to the school director along with comments on the Associate Professor's progress towards promotion. The school director conducts an independent assessment; meets with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the school director, who gives each Professor the chance to meet and discuss the professor's performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their

leadership in graduate education in both teaching and mentoring students; and outstanding service to the school, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

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

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

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

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

There is no presumption of renewal of appointment.

#### **E Research Faculty on the Columbus Campus**

The annual review process for probationary and nonprobationary research 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 school director 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.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review generally proceeds in the same manner as the Fourth-Year Review procedures for tenure track faculty.

There is no presumption of renewal of appointment.

#### **F Associated Faculty on the Columbus Campus**

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

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

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

## **G Regional Campus Faculty**

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

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

The annual performance and merit review of regional campus research faculty is conducted by the school and proceeds as described above for Columbus campus research faculty. The school director will provide the regional campus dean a copy of the faculty member's annual performance and merit review letter.

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

## **H Salary Recommendations**

The school director makes annual salary recommendations (as a percentage and/or whole dollar amount) 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 two, full calendar years. In adopting a process for the distribution of merit salary and other rewards, the School recognizes the importance of qualitative rather than mere quantitative contributions in each of the three areas of faculty activity (research, teaching, service).

In formulating recommendations, the school director consults with the Faculty Annual Evaluation Committee, which provides an initial assessment of each faculty relative to expectations outlined in the POA (see section on *Distribution of Faculty Duties and Responsibilities*) with attention to patterns of increasing or declining productivity.

As a general approach to formulating salary recommendations, the school director divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues. The number of faculty in each grouping does not have to

be equal (i.e., these groupings are not defined as ‘quartiles’). In fact, it is anticipated that most faculty will meet or exceed expectations in research, teaching, and service. Faculty whose performance is below expectations in one or more areas are likely to receive minimal or no salary increases.

Equity raises may be used by the school director to redress inequities in the salary of individuals or groups of faculty when these are discovered relative to peer groups. Raises for excellence may be used by the school director to retain outstanding faculty members, reward faculty with a pattern of exceptional service to the school, college, and/or university, or recognize high quality performance in all three areas (teaching, scholarship, service).

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

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

One-time cash payments or other rewards (e.g., travel or research funds) may be made to recognize non-continuing contributions (e.g., for exceptional service to the school) that justify reward but do not justify permanent salary increases. Such payments/rewards are considered at the time of annual salary recommendations.

## VI Promotion and Tenure and Promotion Reviews

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

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

### A Criteria and Documentation that Support Promotion

#### 1 Promotion to Associate Professor with Tenure

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

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

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

The award of tenure is an acknowledgement of excellence and future potential for preeminence. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the school's academic mission at a high level for the duration of their time at the university. The claim that retention of the candidate will improve the overall quality and standing of the school needs to be supported.

Every candidate is held to a high standard of excellence in all aspects of performance. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. For example, if a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities.

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

Promotion to associate professor with tenure in the College of Arts and Sciences requires excellence in both scholarship and teaching, where scholarship is defined as research, scholarly and/or creative work. Excellence in Research and Teaching are as defined in the Distribution of Faculty Duties and Responsibilities of the POA document. Additional research criteria for promotion to associate professor include the development of a national reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the published research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences. External evaluation of a faculty member by his/her peers at the time of consideration for promotion with tenure must show that the faculty member's research has made a positive impact in the area of his/her expertise and has the potential to continue to advance the body of knowledge significantly. The promise of excellence in service is desirable. 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.

In the evaluation of untenured associate professors for tenure, the same criteria will 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 similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and increasing quality of scholarly contributions, a record of continuing professional growth, leadership roles within the School, College and University, evidence of established national or international reputation in the field, and leadership in service that includes membership on prestigious national and international scientific/agency committees and/or editorships and associate editorships of journals. For promotion to Professor, a faculty member is expected to be a role model for junior faculty, for students, and for the profession.

In the area of research, the faculty member being considered for promotion to professor must have demonstrated continued publication of peer-reviewed scholarly work at the same rate or greater than is expected of assistant professors. The external evaluations at the time of consideration for promotion must demonstrate that the faculty member has made a solid and significant positive impact in the area(s) of his/her expertise and that there is a continuing expectation of advancing the body of knowledge with national and/or international recognition. External research funding must be well established and have the potential to support a long-range research program.

Excellence in service means the provision of a high level of professional expertise and experience, particularly leadership roles, to the university, the public, and the profession.

Under certain conditions, a faculty member could be considered for promotion with an exceptional teaching and service record combined with a less extensive, though excellent record, of research. When assessing a candidate's national and international reputation in the field, a national and international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

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

of Earth Sciences must seek external letters documenting the quality of teaching, leadership, and/or service.

### **3 Teaching Faculty**

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

**Promotion to Associate Teaching Professor.** For promotion to associate teaching professor, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of this school. Specific criteria in teaching and service for promotion to associate teaching professor are similar to those for promotion to associate professor with tenure. In some cases, scholarship activity (e.g., research leading to peer-reviewed publications, books or book chapters, research grant proposals, advising student or postdoc research) may be required, and will be spelled out in the College-approved letter of offer. Research/scholarship cannot account for more than 15-20% of the duties. Normal teaching duties for an associate teaching professor are 6 courses per year. Up to a 1 course reduction (20%) may be provided for research.

**Promotion to Teaching Professor.** For promotion to teaching professor, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to this school and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice. Research activity may occur as outlined above for the Associate Teaching Professor.

### **4 Research Faculty**

**Promotion to Research Associate Professor.** For promotion to research associate professor, a faculty member must have a substantial record of high-quality focused research consistent with an appointment devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged by external evaluators as having substantial positive impact on the field. A record of continuous peer reviewed extramural and/or commercial funding is required and should support a significant portion of her/his salary and benefits. Evidence of a growing national reputation is also required.

**Promotion to Research Professor.** For promotion to research professor, a faculty member must have a national or international reputation built on an extensive body of high-quality publications and with demonstrated impact on the field. A record of continuous peer-reviewed extramural and/or commercial funding (that supports her/his salary and benefits) is required, along with demonstrated research productivity as a result of such funding.

### **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 lecturer if they meet the criteria for appointment at that rank as described in Section IV.A.5.

**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, the school will give greater emphasis to the quality of teaching and service relative to scholarship (i.e., research). Recognizing that the character and quantity of scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the school nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity in the form of peer-reviewed publications or other evidence of scholarly contributions.

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

## **B Procedures**

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

### **1 Tenure-Track, Teaching, and Research Faculty on the Columbus Campus**

#### **a Candidate Responsibilities**

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

- **Dossier**

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

While the Promotion and Tenure (P&T) Chair, Procedural Oversight Designee (POD), and Committee of Eligible Faculty (CEF) 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 or her.

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

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

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

Specific documentation by the school is shown in the list below.

## **1. Research**

- Links to all scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed. An author's manuscript does not document publication.
- Official documentation of grants and contracts received including notice of awards if requested by the school director, P&T Chair, or CEF.
- Official documentation of invention disclosures, patents (provisional patent applications and non-provisional patent utility awards), disclosures, options and commercial licenses, creative works including multimedia, curated exhibits, and websites.
- Other relevant documentation of research as appropriate (e.g., grants and contract proposals that have been submitted but not funded, list of conference abstracts, list of

invited talks and seminars, list of research recognition such as awards by the faculty member or their graduate and undergraduate students).

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

## **2. Teaching**

- cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the University Registrar) for every class. All faculty members should seek and retain written feedback from students through the SEI system and, where applicable, mid-course instructor-generated written feedback forms.
- Peer evaluation of teaching reports as required by the School of Earth Sciences' peer evaluation of teaching program (described in the POA document).
- teaching activities as listed in the core dossier including:
  - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
  - mentoring postdoctoral scholars and researchers ○ extension and continuing education instruction ○ involvement in curriculum development
  - awards and formal recognition of teaching
  - presentations on pedagogy and teaching at national and international conferences
- adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate.

## **3. Service**

- any available documentation of the quality of service that enhances the list of service activities in the dossier.
- service activities as listed in the core dossier including:
  - involvement with professional journals and professional societies
  - review of grant proposals at federal funding agencies
  - consultation activity with industry, education, or government
  - administrative service to the School, college, and university, including the Office of Student Life
  - advising to student groups and organizations
  - awards and prizes for service to profession, university, or department

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

### **• Appointments, Promotion, and Tenure (APT) Document**

Candidates must also indicate the APT under which they wish to be reviewed. Candidates may elect to be reviewed under (a) the school's current APT document; (b) the APT document that was in effect on their start date; or (c) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last

promotion, whichever is more recent, was more than 10 years before April 1 of the review year.

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 school.

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

As noted above, if external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to school 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 school director decides whether removal is justified.

Under no circumstances should a candidate under review solicit evaluations from any party for purposes of the review.

## **b Committee of Eligible Faculty (CEF) Responsibilities**

The School Director) may attend meetings at which promotion and tenure matters are discussed and may respond to questions, but may not vote. The P&T Chair is appointed by the school director as described in the POA document.

Senior-rank faculty under consideration, regardless of type (tenure-track, teaching, research, associated) may be reviewed only by faculty of the rank at or above consideration (associate and professor for associate, and professor for professor).

The responsibilities of the CEF are as follows:

- To review this APT document annually and to recommend proposed revisions to the faculty.
- 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
- To consider annually, in spring semester, requests from faculty members seeking a nonmandatory 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 only be denied a formal promotion review under Faculty Rule [3335-6-04](#) only once. 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 CEF to permit a review to take place in no way commits the eligible faculty, the school director, or any other party to the review to making a positive recommendation during the review itself.
- 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 CEF. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
  - **Late Spring:** In consultation with the CEF and P&T Chair, the Director suggests a list of possible external evaluators to the College for approval.
  - **Early Autumn:** With help from the candidate's mentors and P&T Chair, 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 an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
  - Review an analysis of the candidate's performance in teaching, scholarship, and service drafted by the candidate's mentors, and seek to clarify any inconsistent evidence in the case, where possible.
  - Meet to consider and vote on a candidate's case. The P&T Chair, in consultation with the CEF, drafts a letter to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forwards the completed written evaluation and recommendation to the school director.
  - The P&T Chair also provides a written response, on behalf of the CEF, to any candidate comments that warrant response, for inclusion in the dossier.
  - Provide a written evaluation and recommendation to the school director in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote

on these cases since the school's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this school's cases.

#### **c Promotion & Tenure (P&T) Subcommittee**

This subcommittee is responsible for organizing material for faculty P&T reviews (e.g., dossiers, external letters) and working with mentor committees (**Appendix B**) who will be presenting each case to the entire CEF. The P&T subcommittee will be composed of the following members: the P&T Chair, a professor appointed by the school director; a Procedures Oversight Designee (POD), a professor selected by the CEF; and administrative assistant, typically the School's Administrative Manager.

#### **d School Director's Responsibilities**

The responsibilities of the school director are as follows:

- To charge each member of the CEF to conduct reviews free of bias and based on criteria.
- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status.
- **Late Spring or Early Summer Semester:** The Director will solicit external evaluations from a list including names suggested by the CEF, the school director, and the candidate. (Also see External Evaluations below.)
- To solicit an evaluation from a TIU head of any TIU in which the candidate has a joint appointment.
- To charge the P&T Chair with ensuring that each candidate's dossier is complete and accessible for review by the eligible faculty via systems mandated by the Office of Academic Affairs at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. At the request of the eligible faculty, a school director will leave the meeting to allow open discussion among the eligible faculty members.
- To remove any member of the CEF from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review. The Procedures Oversight Designee and Associate Dean of Faculty Affairs in the College of Arts and Sciences can help the school define and resolve conflicts of interest (COI). COI exists when a CEF member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional relationship with the candidate (e.g.,

dissertation or postdoc advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible.

- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the CEF's completed evaluation and recommendation (written by the P&T Chair).
- 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 school review process:
  - of the recommendations by the CEF and school director
  - of the availability for review of the written evaluations by the CEF and school director
  - of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the school director, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the director, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To charge the P&T Chair or designee (e.g., Administrative Manager) with forwarding the completed dossier to the college office by that office's deadline.
- To receive the CEF's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the school director's independent written evaluation and recommendation, to the TIU head of the other tenure-initiating unit by the date requested.

## **2 Procedures for Associated Faculty 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 school director's recommendation is negative, and does not proceed to the executive vice president and provost if the dean's recommendation is negative.

However, should a recommendation from the school director be positive, that decision shall proceed to the dean.

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

Regional campus tenure-track faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean. The regional campus review focuses on teaching and service. The regional campus dean forwards the written

evaluation and recommendation of the regional campus review to the school director, 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 school director.

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

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

#### **4 External Evaluations**

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews and all research appointment contract renewals and promotion reviews.

External evaluations of scholarly activity and research are not obtained for teaching or associated faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a teaching or associated faculty member will be made by the school director after consulting with the candidate and the P&T Chair.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This school will solicit evaluations only from professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors. Requests can also be made from highly ranked Research Professors as long as a minority of evaluations come from research 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 school cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of the summer 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 ideally ten potential evaluators is assembled by the CEF, P&T Chair, school director, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this school requires that the dossier contain letters from evaluators suggested by the candidate.

The school follows the Office of Academic Affairs suggested format for letters requesting external evaluations. A sample letter for tenure-track faculty can be found [here](#). A sample letter for teaching 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 school director, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

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

## **VII Appeals**

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

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

## **VIII Seventh-Year Reviews**

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

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

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

Use of the Student Evaluation of Instruction (eSEI) is required in every course offered in this school. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used

both for performance reviews and to provide feedback that can be taken into account in future teaching.

## B Peer Evaluation of Teaching

Peer evaluation of teaching is required for all faculty members in the College of Arts and Sciences, including tenure-track faculty and teaching faculty. Peer evaluation should fulfill two basic goals: 1) provide constructive feedback to faculty on both the content and the quality of their instruction, and 2) help faculty to continually improve the overall effectiveness of their teaching at all levels.

Assistant professors, including assistant teaching professors, must have a minimum of five reviews at the time of their promotion review, and associate professors, including associate teaching professors, must have a minimum of three. Tenured professors, including teaching professors, should be evaluated once every four years.

On occasion, it may be necessary for the school director (or designee) to evaluate the teaching of any faculty member not currently scheduled for review. For example, reviews of Professors are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching. Reviews are done by using a formal *Teaching Consultation* coordinated through the [Drake Institute for Teaching and Learning](#) at the discretion of the school director in consultation with the Administrative Committee.

The school director or designee (e.g., P&T Chair) oversees the school's peer evaluation of teaching process, which is generally implemented through the individual faculty mentor committees as described in **Appendix B** and the POA document. In consultation with the mentee, the P&T Chair recommends, and the school director appoints, a two-person Mentor Committee annually for each of the Assistant and Associate Professors. These mentors come from the CEF. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the school. Although there is no presumption that a mentor must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible. The term of service is one year, with the same Mentors commonly reappointed.

The purpose of having two Mentors is to provide the Mentee with a range of feedback (e.g., on teaching) to help guide him/her through the tenure and promotion process. While these guidelines define the minimum expectations, Mentors are encouraged to meet more often with Mentees. The Mentors complete the Annual Mentor Form (**Appendix C**) and review the contents with their mentee.

The responsibilities of the Mentor Committee with respect to the teaching evaluation are as follows:

- to review the teaching of probationary tenure-track and teaching faculty at least once per year with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned; a minimum of five peer-evaluations of teaching is required from the probationary period.
- to review the teaching of tenured associate professors and nonprobationary associate teaching professors at least once every other year, with the goal of assessing teaching at all the levels of

instruction to which the faculty member is assigned over a six year period and of having at least four peer reviews of teaching before the commencement of a promotion review.

- To review, upon the school director's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The school director is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [Michael V. Drake Institute for Teaching and Learning](#).

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

Regularly scheduled evaluations are both summative and formative (i.e., they provide both an assessment of the faculty member's teaching for use in annual and promotion reviews, and advice to improve the faculty member's teaching). These evaluations should include, in addition to class visitation, review of course syllabi and related instruction materials, assignments, and exams. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by a faculty member of the mentoring committee. The peer reviewer should meet with the candidate to establish a time for the visit (avoiding, for example, exam periods or lectures by guest speakers) and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.

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

**APPENDIX A.** The Annual Activity report form, provided to faculty by the school director, will contain the following items and may be supplemented by a one-page summary or narrative of the faculty member's accomplishments and/or challenges. The period covered is the previous two calendar years. The form should be completed by each faculty member and submitted to the school director (or deposited in the appropriate electronic folder). The deadline will be announced each year by the school director, or designee, and typically occurs in early February.

Teaching faculty are required to follow the directions stated above, although they will not need to complete the research section if their duties do not involve scholarship activities.

### **1. Research**

- Awards and recognition of research achievement
- Documentation of all scholarly papers published, including those published online first. Papers accepted for publication but not published, should not be included. Copies of all scholarly papers may be requested.
- Documentation of active grants, contracts, and fellowships, and proposals submitted but not funded. List students and postdocs supported on grants.
- List professional meetings attended, number of abstracts presented, and any invited or professional talks given.

### **2. Teaching**

- Teaching awards and other significant recognition of teaching excellence
- List of courses taught, number of students per class, and SEI score for each class.
- Cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class taught. As both high and low SEI scores may reflect more than the quality of the instruction for a given course, student comments provide context to these scores. Taken in aggregate, student qualitative feedback is a useful tool to interpret the SEI scores and help the instructor and their mentor committee to evaluate and focus teaching development. Therefore, all professors should seek and retain written feedback from students through the SEI system and, where applicable, mid-course instructor-generated written feedback forms.
- Peer evaluation of teaching reports as required by the School of Earth Sciences' peer evaluation of teaching program for Assistant and Associate Professors and for Professors for whom an annual teaching evaluation was performed at the request of the school director.
- Student mentoring: List of all postdocs, graduate and undergraduate students advised as principal advisor, committee member, or supervisor. List graduated student and postdocs. List any awards or accomplishments by students advised.
- Other relevant documentation of teaching as appropriate.

### **3. Service**

- Service awards and other significant recognition of service excellence
- List service activities, role in those activities and contributions, to the department, college, university (including interdisciplinary centers or institutes), public, and profession
- Professors also list their mentees and document their mentoring activities
- List any other additional service activities and any role in the operation and maintenance of general facilities and/or non-student salaried personnel

**APPENDIX B.** Mentor responsibilities guidelines.

The minimum responsibilities of the individual Mentor Committees are as follows:

1. Two peer-evaluations of assistant and associate professor teaching each year (i.e., one per mentor for each class observed using the Teaching Evaluation Form below). The evaluating Mentor meets with the Mentee to discuss the evaluation. Both the evaluating Mentor and the Mentee sign the Teaching Evaluation Form, then submit it to the Director, P&T Chair, the Mentee, and the Administrative Manager of SES. The Mentee may provide written comments on this report and the Committee may respond in writing to those comments if he/she wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier. When assistant professors are reviewed for tenure and promotion, they are required to have a minimum of five peer evaluations of teaching from the probationary period according to the College of Arts and Sciences APT document section X, sub-section B. Peer Evaluation of Teaching.
2. Annual meeting with Mentees to evaluate progress, set goals, and address shortcomings towards tenure and/or promotion. It is strongly encouraged that this meeting includes both the Mentors and the Mentee. Both the Mentee's Annual Report and updated CV should be reviewed as part of this meeting.
3. Submit an annual report (see Annual Mentor Report Form below) by 15 February for Mentees undergoing 4th year review, by 15 March for Mentees going up for promotion that fall semester, and by 15 April for all other Mentees. This annual report should be based on findings from the annual meeting in item #2. Both the Mentors and the Mentee sign the Annual Mentor Report Form prior to submitting it to the Director of SES, the P&T Chair, the Mentee, and the Administrative Manager of SES.
4. Present the Mentee case(s) each year during the review of Assistant and Associate professors on the tenure track, including promotion and tenure years, as well as Assistant and Associate teaching professors.

**APPENDIX C.** Annual Mentor Report Form.

**Annual Mentor Report Form for the School of Earth Sciences**

Mentee Name: \_\_\_\_\_

Rank: \_\_\_\_\_

Years at Rank: \_\_\_\_\_

Appointment: \_\_\_\_\_ % SES, \_\_\_\_\_ % other unit

Date written: \_\_\_\_\_

Date report shared with mentee: \_\_\_\_\_

Report Calendar Year: \_\_\_\_\_

Mentor #1 Name: \_\_\_\_\_

Mentor #2 Name: \_\_\_\_\_

Extenuating Circumstances (e.g., FMLA, other): \_\_\_\_\_

For each category below, please provide the following information:

- overall statement of the research /teaching and mentoring /service activities
- evidence of response to suggestions for improving his/her research /teaching and mentoring/ service activity since the last evaluation
- recommendations and goals for further improving research / teaching and mentoring/ service during the following calendar year
- progress towards tenure and/or promotion

**Research activity:**

**Teaching activity:**

**Service activity:**

Signatures of Mentors #1 and #2: \_\_\_\_\_

Signature indicating the Mentee has seen this report: \_\_\_\_\_

**APPENDIX D.** The Teaching Evaluation Form and Annual Mentor Report Form.

**Teaching Evaluation Form for the School of Earth Sciences**

Mentee name: \_\_\_\_\_ Mentor name: \_\_\_\_\_  
Date of observation: \_\_\_\_\_ Student composition: UG, G, Majors, Non-Majors, Other  
Course name: \_\_\_\_\_ Course number: \_\_\_\_\_  
# students enrolled: \_\_\_\_\_ # students in class: \_\_\_\_\_

For each category below, please provide the requested information. Please also provide any additional information that is germane to the evaluation within each category.

**Overview** including but not limited to type of course (i.e., didactic, lab, field), student assessment, instructor's performance, student behavior/response during instruction, syllabus.

**Strengths** including but not limited to knowledge of material, voice projection, enthusiasm, student engagement, presentation (style, content, organization, clarity), innovative or new approaches.

**Suggestions for improvement** on any aspect of teaching including presentation materials, lecture pace/style, assignments, student engagement.

**Implementation of suggestions from prior year's evaluation.**

Signature of Mentor: \_\_\_\_\_

Signature indicating the Mentee has seen this report: \_\_\_\_\_