

Appointments, Promotion, and Tenure Criteria and Procedures

for

The Ohio State University Department of Food, Agricultural and Biological Engineering

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Table of Contents

I Preamble	4
II FAVE Mission.....	4
III Definitions.....	5
A Committee of the Eligible Faculty	5
1 Tenure-track Faculty	5
2 Professional Practice Faculty.....	5
3 Research Faculty	6
4 Conflict of Interest	6
5 Minimum Composition.....	6
B Promotion and Tenure Committee	6
C Quorum.....	7
D Recommendation from the Eligible Faculty	7
1 Appointment	7
2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal.....	7
IV Appointments.....	7
A Criteria	7
1 Tenure-track Faculty	7
2 Professional Practice Faculty.....	8
3 Research Faculty	9
4 Associated Faculty	9
5 Emeritus Faculty	10
6 Courtesy Appointments for Faculty.....	11
B Procedures	11
1 Tenure-track Faculty	11
2 Professional Practice Faculty.....	13
3 Research Faculty	13
4 Transfer from the Tenure Track.....	13
5 Associated Faculty	13
6 Courtesy Appointments for Faculty.....	14

V Annual Performance and Merit Review.....	14
A Documentation.....	164
B Probationary Tenure-track Faculty.....	15
1 Fourth -Year Review	15
2 Exclusion of Time from Probationary Period.....	16
C Tenured Faculty.....	16
D Professional Practice Faculty	16
E Research Faculty	17
F Associated Faculty.....	17
G Salary Recommendations.....	17
VI Promotion and Tenure and Promotion Reviews.....	18
A Criteria and Documentation	18
1 Promotion to Associate Professor with Tenure	18
2 Promotion to Professor	27
3 Professional Practice Faculty	28
4 Research Faculty	28
B Procedures	29
1 Candidate Responsibilities.....	29
2 Professional Development Committee Responsibilities	29
3 Promotion and Tenure Committee Responsibilities	311
4 FAFE Chair Responsibilities	311
5 External Evaluations	322
6 Dossier	333
VII Appeals.....	344
VIII Seventh-Year Reviews.....	344
IX Procedures for Student and Peer Evaluation of Teaching	344
A Student Evaluation of Teaching.....	344
B Peer Evaluation of Teaching	34

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 Department of Food, Agricultural and Biological Engineer (FABE) and its faculty are subject.

Should those rules and policies change, FABE 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 FABE chair.

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

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

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

II FABE Mission

A Purpose

To discover, disseminate, and apply knowledge of engineering and science in the areas of food, agriculture, construction, the environment, and human well being for the betterment of society through a broad-based programmatic effort with a solid knowledge core.

B Core Values

- Science-Based
- Creative Problem Solving
- Professionalism
- Multidisciplinary Scope
- Community Engagement
- Life-Long Learning
- Continuous Improvement

C Goal

To be a world class academic unit which offers excellent opportunities for the professional development and personal growth of everyone in and associated with the FABE community.

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 FABE.

The FABE chair, FABE associate chair(s), 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 appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), a review is performed and a second vote 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 and the tenure reviews of probationary professors, the eligible faculty consists of all tenured professors.

2 Professional Practice Faculty

Initial Appointment Reviews

- For appointment (hiring) at senior rank (professional practice associate professor or professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested, and all non-probationary professional practice faculty of equal or higher rank than the position requested.

Reappointment, Contract Renewal, and Promotion Reviews

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

practice professors, the eligible faculty consists of all tenured professors, and all non-probationary professional practice professors.

3 Research Faculty

Initial Appointment Reviews

- For appointment (hiring or appointment change from another faculty type) at senior rank (research associate professor or research professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested and all non-probationary research faculty of equal or higher rank than the position requested.

Reappointment, 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 non-probationary 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 non-probationary research professors.

4 Conflict of Interest

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

5 Minimum Composition

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

B Promotion and Tenure Committee

FABE has a Promotion and Tenure Committee that assists the eligible faculty in managing the personnel and promotion and tenure issues. The committee consists of all eligible associate professors and professors as described in Section III. A. above. The committee is chaired by the Professional Development Committee chair appointed per the FABE Pattern of Administration (POA). When considering cases involving professional practice faculty the Promotion and Tenure Committee may be augmented by FABE non-probationary professional practice faculty members. When considering cases involving research faculty the Promotion and Tenure Committee may be augmented by FABE non-probationary research faculty members.

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. Faculty on approved leave of absences may not participate in personnel decisions including promotion and tenure reviews. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the FABE chair has approved an off-campus assignment.

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

D Recommendation from the Eligible Faculty

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.

1 Appointment

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

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 two-thirds of the votes cast are positive.

IV Appointments

A Criteria

FABE is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of FABE. 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 FABE. 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 FABE. 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. FABE will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. 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 FABE's eligible faculty, the FABE chair, 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. 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 FABE 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 7th year will be the final year of employment.

Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

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

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

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency. Offers to foreign nationals require prior consultation with the Office of International Affairs.

2 Professional Practice Faculty

Appointment of professional practice faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to professional practice faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. FABE may determine the process for reappointment according to the procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#).

FABE supports professional practice (teaching) faculty. These appointments exist for faculty members who focus principally on the education needs of students in FABE or college. Professional practice faculty members are expected to contribute FABE's education mission as reflected in undergraduate and graduate program development and teaching. Professional practice

faculty appointments are made in accordance with Faculty Rule [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of FABE.

Instructor of Professional Practice of FABE. Appointment is normally made at the rank of professional practice instructor when the appointee has not completed the requirements for the terminal degree. FABE 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 Professor of Professional Practice of FABE. An earned doctorate and the required licensure/certification in his or her specialty are the minimum requirements for appointment at the rank of professional practice assistant professor. Evidence of ability to teach is highly desirable.

Associate Professor or Professor of Professional Practice of FABE. Appointment at the rank of professional practice associate professor or professional practice professor requires that the individual have the required licensure/certification in his/her specialty, and meet, at a minimum, FABE's criteria—in teaching, service and other scholarship—for promotion to these ranks.

3 Research Faculty

Appointment of research faculty entails one- to five-year appointments. The initial appointment is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent appointments will be offered, regardless of performance. FABE may determine the process for reappointment according to the procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#).

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

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

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

4 Associated Faculty

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

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to FABE, such as teaching a course or

serving on graduate student committees, for which a faculty title is appropriate. Typically, the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor and Clinical Professor. Associated clinical appointments may either be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service such as teaching courses within FABE, for which a faculty title is appropriate. Associated clinical rank is determined by applying the criteria for appointment of professional practice faculty. Associated clinical faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of professional practice 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.

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.

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

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

5 Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule [3335-5-36](#). Full-time tenure track, professional practice, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the FABE chair (regional campus dean for associated faculty on regional campuses) outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and non-probationary professional practice and

research associate professors and professors) will review the application and make a recommendation to the FABE chair. The FABE chair will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-05-04](#), emeritus status will not be considered.

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

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

6 Courtesy Appointments for Faculty

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

B Procedures

See the Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs [Policies and Procedures Handbook](#) for information on the following topics:

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

1 Tenure-track Faculty

A national search is required to ensure a pool of highly qualified candidates for all tenure-track positions. 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 FABE 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 FABE chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within FABE.

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 FABE chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific nationally prominent professional journal.
- 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, on-campus interviews are arranged by the search committee chair, assisted by FABE's front office. If the faculty does not agree, the FABE chair in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the FABE chair; 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.

Following completion of on-campus interviews, the search committee meets to discuss perceptions and preferences, and to vote on the acceptability of each candidate. The search committee reports a recommendation on each candidate to the FABE chair.

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

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

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs. The university does not grant tenure in the absence of

permanent residency status. FABE will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

2 Professional Practice Faculty

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

3 Research Faculty

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that during the on-campus interview the candidate is not asked to teach a class, and 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 professional practice or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the FABE chair, 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 professional practice appointment and from a research appointment to the tenure track are not permitted. Professional practice faculty members and research faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

5 Associated Faculty

The appointment, review, and reappointment of all compensated associated faculty are decided by the FABE chair in consultation with the FABE associate chair(s) and Professional Development Committee (PDC) chair.

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 FABE and are decided by the FABE chair in consultation with the FABE Executive Committee.

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 FABE'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.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty (see Promotion and Tenure and Promotion Reviews below), with the exception that the review does not proceed to the college level if the FAFE chair's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

6 Courtesy Appointments for Faculty

Any FAFE tenure track faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, professional practice, or research faculty member from another Ohio State tenure-initiating unit. A proposal that describes the uncompensated academic service to FAFE justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the FAFE chair extends an offer of appointment. The FAFE chair reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

V Annual Performance and Merit Review

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

- Assist faculty in improving professional productivity through candid and constructive feedback and through the establishment of professional development plans;
- Establish the goals against which a faculty member's performance will be assessed in the foreseeable future; and
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

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

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

A Documentation

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

- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required for probationary faculty and recommended for associate professors*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)

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

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

B Probationary Tenure-track Faculty

Every probationary tenure-track faculty member is reviewed annually by the FABE chair, 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.

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

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

1 Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are solicited only when either the FABE chair 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 eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment.

The eligible faculty forwards a record of the vote and a written performance review to the FABE chair, who conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the FABE review, the formal comments process (per Faculty Rule [3335-6-04](#)) is

followed and the case is forwarded to the college for review, regardless of whether the FABE chair recommends renewal or nonrenewal.

2 Exclusion of Time from Probationary Period

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

C Tenured Faculty

Associate professors are reviewed annually by the FABE chair. The FABE chair 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 annual review of associate professors is based on their having achieved excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and high quality service to FABE, the university, and their profession. The faculty member may provide written comments on the review.

Professors are reviewed annually by the FABE chair, who meets with the faculty member to discuss his or her performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to FABE, the university, and their profession. 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 FABE chair prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

D Professional Practice Faculty

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

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

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

E Research Faculty

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

In the penultimate contract year of a research faculty member's appointment, the FABE chair 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.

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

F Associated Faculty

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the FABE chair, 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 FABE chair will decide whether or not to reappoint. The FABE chair's recommendation on reappointment is final.

G Salary Recommendations

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

In formulating recommendations, the FABE chair consults with the associate chair(s) and the chair of the Professional Development Committee. As a general approach to formulating salary recommendations, the FABE chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues. Salary increases should be based upon these considerations.

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

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

VI Promotion and Tenure & Promotion Reviews

A Criteria and Documentation

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.

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 a commitment of lifetime employment. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to FABE's academic mission at a high level for the duration of their time at the university.

FABE exercises very high standards for the awarding of tenure since a positive tenure decision has a profound impact on the quality and future of FABE. A tenure-track faculty member's pattern of performance over the probationary period is expected to yield a high degree of confidence that the candidate will continue to develop professionally. Performance criteria vary both according to FABE's mission and the particular responsibilities of each faculty member. In determining excellence, candidates are judged against the norms of high achievement among peers at the national level and in the areas that are central to their responsibilities.

Faculty performance evaluations will be used to inform decisions concerning salary increases, promotions, and the granting of tenure within FABE. The criteria and standards of evaluation for performance described in this section reflect FABE's mission and objectives. Tenure-track faculty must demonstrate substantial potential or provide evidence of quality teaching and contributions to the advancement of knowledge through scholarly inquiry. These performance

criteria are designed to determine the extent to which tenure-track faculty expectations are achieved and judged against the norms of high achievement among peers at the national level.

Each tenure-track FAFE faculty member has a tripartite responsibility: 1) to disseminate knowledge, whether through academic program, among peers, or to outreach students, including extension clientele; 2) to generate knowledge through research and other scholarly efforts; and 3) to provide service to the department, college, university, and profession. Each tenure-track faculty member's appointment distribution (research, teaching and/or extension) and job description are considered in evaluations, but interpreted broadly. Essentially, each tenure-track faculty member is expected to have substantial levels of achievement in teaching, research, and service and to demonstrate high quality performance.

FABE tenure-track faculty members are hired into positions with a specified appointment split across teaching, extension and research missions of the college and department. The appointment split may, or may not, align with funding sources (e.g., General Fund, OSUE and OARDC). Faculty members may be granted a change in their appointment split with the concurrence of the chair and college administration. Adjustments to this appointment split must be agreed to by all parties via a memorandum of understanding that is maintained in the personnel file.

Because performance in teaching, research and other scholarly activities, and service can be difficult to assess, a variety of evaluation criteria are employed (see TEACHING AND OUTREACH table below). Teaching quality is judged primarily on the basis of peer evaluations, clientele reaction, soundly conducted student surveys, and program impact. The primary indicators of successful research and other scholarly efforts are manifested as contributions to knowledge and recorded in: peer reviewed publications; patents; problem solutions; new, innovative techniques and technologies; grants; and peer recognition. Recognition of how well a tenure-track faculty member contributes to service responsibilities and collegiality is judged by both peers and by those served. Tenure-track faculty will be especially recognized for collaborative efforts and advances in interdisciplinary and interdepartmental programs.

Effective teaching is an essential responsibility of all tenure-track faculty members in FABE. The quality of teaching is an explicit factor in the evaluation of faculty performance for merit salary increases, promotion and tenure. Teaching embraces two distinct functions: academic program and outreach education.

Academic program includes undergraduate and graduate instruction in formal courses, seminars, and individual studies. Directing student research is both a research and teaching activity. Advising students, including academic and career counseling (graduate and undergraduate) is a service activity associated with teaching.

Outreach education refers to planned educational activities by tenure-track faculty that are directed primarily toward students/clientele outside the campus classroom. These are persons who are not enrolled in courses for academic credit, and include the general public. Outreach education encompasses, but is not limited to, educational activities conducted through extension programs. FABE tenure-track faculty with an extension appointment are expected to demonstrate contributions through creative analysis, published accounts of research and technology, and published review articles (see TEACHING AND OUTREACH table below). In addition, they are expected to produce materials and programs that digest and reduce to practical application established scientific principles and research of others, for their clientele.

Scholarship is the responsibility of each faculty member in FABE, regardless of budgetary appointment (teaching, research and/or extension). There should be evidence that the faculty member is continuously and effectively engaged in creative activity of high quality and significance. Scholarly productivity takes many forms: theoretical innovation; the development of solutions through basic research, applied research, and empirical techniques; and the creative application of existing concepts, knowledge, and empirical methods to problem solving.

Each tenure-track faculty member is expected to develop a research program, the focus and scope of which reflects professional interests as well as FABE goals. Written accounts of scholarship, particularly those that have been reviewed by peers, are the primary indicators of quality. Publication quality and usefulness is assessed by employing indicators such as the citation indices, reprint requests, letters from peers, evidence that results have influenced peers and users (see SCHOLARSHIP table below).

FABE deems service to programs of the department, college, university and professional organizations as a responsibility of each tenure-track faculty member. It is recognized that service will vary among faculty members and for a faculty member over time, depending in part, on the specific faculty appointment. However, a faculty member is expected to perform in each of the following major categories (administrative, student, professional, and technical).

Service is work done or duties performed for others at all levels within the University and professional services to government, agribusiness, and professional associations at local, state, national, and international levels (see SERVICE table below). Quality of service will be judged by the impact of the service on the organization served. Personal service contributed to civic organizations, religious organizations, charities, community, and other organizations does not fall within the definition of professionally-oriented service used herein.

The guidelines for annual review, and promotion and tenure, are considered reasonably flexible, such that performance in one area of teaching, research and other scholarly activities, and service may be balanced against another. However, for promotion to any rank above assistant professor, the candidate must have demonstrated excellence in teaching, research and other scholarly activities, and service and consistent with expectations of position responsibilities. A less than commendable performance in any category will preclude the candidate from receiving a recommendation for promotion.

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](#).

TEACHING AND OUTREACH

Criteria	Documentation Demonstrating Impact and Showing Criteria Have Been Met
<p>Candidates must demonstrate they meet criteria appropriate to their appointment:</p>	<p>Candidates may be asked to submit:</p>
<p>Developed new and effective instructional techniques and materials appropriate for the objectives and level of the course</p>	<ul style="list-style-type: none"> • Changes to or development of syllabi, examinations, laboratory exercises, case studies, field trip agenda, problem sets, computer software demonstrate up-to-date thought on subject content • Summary of class comments demonstrate instructional content up-to-date • Experts in field evaluate and determine syllabi, class evaluation items and class materials up-to-date and appropriate for topic and audience • External faculty expert reviews course materials (syllabus, assignments, examinations, sample class information) and evaluates meeting contemporary expectations for topic • Attended continuing education on topic or focus area and adopted new materials in class • Completed Foundations, Impact Teaching through the Drake Institute for Teaching and Learning (DITL) • Completed Teaching at Ohio State through DITL • Awarding of “Endorsement” from DITL
<p>Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm</p>	<ul style="list-style-type: none"> • Cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar)¹ for every class • eSEI items 1, 3, 5, 6, 8, 9 scores equal or greater than average for FABE or college • eSEI item 10 scores equal or greater than average for FABE or college • Positive peer evaluation documenting these areas demonstrate positive trajectory during review period • Positive evaluations from Continuing Education Programs, both internal and external to the University
<p>Demonstrated excellence in outreach education</p>	<ul style="list-style-type: none"> • Demonstration of an understanding of the needs of outreach learners • Demonstrate the development of effective teaching materials and programs as measured by outcomes and adoption of the materials or programs

	<ul style="list-style-type: none"> • Demonstration of creativity in subject matter development, methods of presentation and the incorporation of new ideas • Positive evaluations of presentations provided through outreach education • Documentation of evidence-based presentations meeting the needs of the learners
Improved curriculum through revision or new development of courses and/or academic programs	<ul style="list-style-type: none"> • Documentation of involvement and specific outcomes in curriculum development • Leadership in development of the curriculum and courses which goes beyond normal teaching and service expectations
Engaged in documentable efforts to improve teaching	<ul style="list-style-type: none"> • Completed Foundations, Impact Teaching through DITL • Completed Teaching at Ohio State through DITL • Teaching portfolio demonstrating teaching outcomes after efforts to improve • Annual evaluations – setting goals, document activities in which faculty member participated, changes made to teaching, and outcomes of the change (improvement in student success as demonstrated by higher board scores or other documentation, eSEI improvements, etc) • Awarding of “Endorsement” by the Drake Institute for Teaching and Learning.
Demonstrated exceptional teaching outcomes	<ul style="list-style-type: none"> • 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 • eSEI – Item 10 scores equal to or greater than average for FAVE or college • National and international reputation for teaching – contribution to professional area in teaching. • Use, development, and support of information technologies in teaching • Exceptional professional meeting presentation evaluations • Exceptional extension program evaluations • Exceptional DITL/STEP mentor evaluations
Demonstrated exceptional community-engaged teaching	<p>Service-learning contributions:</p> <ul style="list-style-type: none"> • Demonstrates that students have provided a needed service to members of the community at large, rather than an exclusionary group • Methodology used provides a way for students to process and synthesize the impact of the

	<p>service-learning experiences on their understanding of the subject matter of the class</p> <ul style="list-style-type: none"> • Demonstrates that students broadened understanding of civic involvement, even though students may also focus on career preparation • Awards received for service related to engagement in teaching
Demonstrated the candidate's ability to conduct work and to mentor future scholars	<ul style="list-style-type: none"> • Candidate advising a group of graduate students at varying stages of progress in their own development as apprentice researchers • Evidence of support for undergraduate, graduate, and professional students including, but not limited to, financial, grants, and positive mentoring reviews • Undergraduate, graduate, and professional students and residents' advisee awards • Student positions post-graduation • Student success related to mentored work (productivity, dissemination, awards, scholarships, grants)

SCHOLARSHIP	
Criteria	Documentation Demonstrating Impact and Showing Criteria Have Been Met
Candidates must demonstrate they meet criteria appropriate to their appointment:	Candidates may be asked to submit:
Demonstrated thematically focused research/scholarship/creative outcomes that contribute to knowledge in area of expertise and relationship to his/her scholarly agenda, unit mission and societal needs	<ul style="list-style-type: none"> • A body of work in peer reviewed journals, or other journals consistent with the standards of the appropriate unit, and/or conferences of high quality that clearly demonstrates creation of an independent research/scholarship/creative program over time, and contributes substantively to knowledge/outcomes in the area of focus. Publications demonstrate research/scholarship/creative focus. • Complete publication record including archival journal papers, conference papers and posters (both refereed and otherwise), monographs, books, book chapters, textbooks based on scholarship, magazine articles and on-line publications, patents and invention disclosures. • Sustained grants and contracts including foundations, federal agencies, major industry, or private sector – may be as Primary Investigator or Co-Investigator with documented focused contribution on multiple grants or projects • White papers that can be shown to have influenced policy or practice

	<ul style="list-style-type: none"> • Creation of digital media, software, patents, and fact sheets – related to outcomes • Description of significant outreach activities in which the faculty member played a major role, with qualitative indicators to evaluate the excellence of each activity
Demonstrated high quality scholarship/research of teaching	<ul style="list-style-type: none"> • Scholarship of teaching including pedagogical papers, textbooks, monographs and compilations of essential education resources, including online teaching resources. Scholarship of teaching may also include the creation of digital, simulation or other learning tools
Demonstrated high quality scholarship/research of extension	<ul style="list-style-type: none"> • Substantial body of focused, high quality research/scholarly/creative work that is disseminated appropriately and evaluated to have had impact on the field by internal and external evaluators • A body of work published and/or presented in high quality peer reviewed venues (books, journals, scholarly conferences, etc.) that is thematically focused, contributes substantively to knowledge in the area of focus, and cited or otherwise show evidence of influence on the work of others • Rigorous peer review process and degree of dissemination of publication and/or presentation venues • Archival journal publications and monographs, conference proceedings • Internally peer reviewed OSU Extension publications for non-campus-based faculty • Collaborative scholarship with defined intellectual contribution to multiple projects • Obtain and sustain program funding from grants and contracts • Awarded competitive peer reviewed funding awarded and outcomes from funding provide impact • External reviewers note a reputation based on the quality of outcomes in area of specialization • Campus-based faculty have national and/or international reputation
Demonstrated successful entrepreneurship	<ul style="list-style-type: none"> • Patents and licenses of invention disclosures, software development, and materials transfers • Technology commercialization • Formation of startup companies • Licensing and options agreements • Consulting work with industry and other external partners

Demonstrated ability to obtain and potential to sustain research and scholarly program funding.	<ul style="list-style-type: none"> • Competitive peer-reviewed research funding – national or international grants from funding agencies including government agencies and private foundations, and associations that require outcomes • Grants and contracts designed to develop and deliver outreach or engagement innovations • Documented contribution to the collaboration of research outcomes as a member of a team or interdisciplinary cluster • Unique thematic focus (expertise) consistently provided to the scientific outcomes of the scholarship • Defined pattern of contribution to interdisciplinary cluster
Demonstrated the candidate's ability to conduct work and to mentor future scholars	<ul style="list-style-type: none"> • Candidate advising a group of graduate students at varying stages of progress in their own development as apprentice researchers • Evidence of support for undergraduate, graduate, and professional students including, but not limited to, financial, grants, and positive mentoring reviews • Undergraduate, graduate, and professional students and residents' advisee awards • Student positions post-graduation • Student success related to mentored work (productivity, dissemination, awards, scholarships, grants)
Demonstrated a high degree of professional ethics	<ul style="list-style-type: none"> • High degree of ethical conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of undergraduate, graduate and professional students, residents, postdoctoral fellows, and collaborators

SERVICE

Criteria	Documentation Demonstrating Impact and Showing Criteria Have Been Met
Candidates must demonstrate they meet criteria appropriate to their appointment:	Candidates may be asked to submit:
Demonstrated excellence in service to the FABE	<ul style="list-style-type: none"> • Document contributions and quality indicators of the outcomes of the contributions • Recognition (awards and prizes) for service to FABE • Annual evaluations document excellence in service to FABE
Demonstrated excellence in service to the college	<ul style="list-style-type: none"> • Document contributions and quality indicators of the outcomes of the contributions • Awards and prizes for service to college

	<ul style="list-style-type: none"> • Annual evaluations document excellence in service to college
Demonstrated excellence in service to the university	<ul style="list-style-type: none"> • Administrative responsibilities including: the direction/coordination of programs or offices, admission, participation in special studies or projection, collection development, care and use; grants received in support of the institution • Appointed and elected university, college, and FABE ad hoc or standing committees, councils, task forces, and boards • Documented service as a mentor to a STEP cohort or UITL cohort (if not used in teaching outcomes) • Document contributions and quality indicators of the outcomes of the contributions, including roles in any major reports issued, policy changes recommended and implemented, and administrative units restructured. • Awards and prizes for service to University
Demonstrated excellence in service to the students of Ohio State	<ul style="list-style-type: none"> • Advising student clubs, College Honors Committee, or other organizations; serving on advisory and as outside representative on examination committees of graduate students, and serving on university student committees (e.g., Judicial and Academic misconduct), STEP mentor (if not used under teaching)
Demonstrated significant service to a profession or field	<ul style="list-style-type: none"> • Document contributions and quality indicators of the outcomes of the contributions • Involvement with professional journals (journal editorships, reviewer) and professional societies (offices or committees) • Professional conference organization • Consultation activity with industry, professional discipline education development, other universities, or government • Awards and prizes for service to profession • Any available documentation (e.g., letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier • Evidence of professional expertise to public and private entities as a reviewer for funding proposals, study sections, external examiner, member of panels and commissions, professional consultant to industry, government, and education organization

Development and advancement of the interdisciplinary cluster	<ul style="list-style-type: none"> • Document contributions and quality indicators of the outcomes of the contributions
Demonstration of high quality administration to the University at any level	<ul style="list-style-type: none"> • Document contributions and quality indicators of the outcomes of the contributions including positive change
Demonstrated community-engagement	<ul style="list-style-type: none"> • Documentation of activities and quality indicators within the Community Setting • Documentation of unique service to disadvantaged communities.
Demonstrated outstanding creation of print or digital media for a public audience and/or public websites	<ul style="list-style-type: none"> • Description of underlying creation of images, Web sites, digital tools and software for public • Narrative describing theoretical underpinnings, intellectual rigor of work, and considerations in translating research for a public audience • Awards and/or adoption of the above items by multiple sites • Recognition by external reviewers • Description of the creation of infrastructure as well as content and specific contributions by individual • Lead in the development of faculty team-based projects and scholarship • Scholarship demonstrating technological innovations that permitted persons with disabilities to utilize digital media • Publications of print or digital works, reviews, citations of the work in print or digital journals • Exhibitions and conferences

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 (see chart in Section VI.A.1), with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field.

In determining excellence, candidates are judged against the norms of high achievement among peers at the national level and in the areas that are central to their responsibilities. Each faculty

member is to be assessed in relation to both assigned and chosen responsibilities; distinguished performance in these responsibilities is required.

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

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

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

3 Professional Practice Faculty

Promotion to Assistant Professor of Professional Practice. For promotion to professional practice assistant professor, a faculty member must complete his/her doctoral degree, meet the required licensure/certification in his or her specialty and be performing satisfactorily in teaching, service and other appropriate scholarship.

Promotion to Associate Professor of Professional Practice. For promotion to professional practice associate professor, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of FABE. Specific criteria in teaching and service for promotion to professional practice associate professor are similar to those for promotion to associate professor with tenure. If scholarship activity is required, this must be noted.

Promotion to Professor of Professional Practice. For promotion to professional practice professor, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to FABE and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and professional practice.

4 Research Faculty

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

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

FABE deems service to programs of the department, college, university and professional organizations as a responsibility of each research faculty (research associate professor and research professor) member. It is recognized that service will vary among research faculty members and for a research faculty member over time, depending in part, on the specific faculty appointment. However, a research faculty member is expected to perform in professional and technical categories.

B Procedures

FABE'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](#). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in FABE.

1 Candidate Responsibilities

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates are fully responsible for the contents of the dossier and should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the APT document under which the candidate wishes to be reviewed. Candidates may submit FABE's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. The APT document must be submitted when the dossier is submitted to FABE.
- To review the list of potential external evaluators developed by the FABE chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The FABE chair decides whether removal is justified. (Also see External Evaluations below.) Under no circumstances should a candidate solicit evaluations from any party for purposes of the review.

2 Professional Development Committee Responsibilities

The responsibilities of the Professional Development Committee are as follows:

- To review this APT document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide 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](#) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
 - Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the FABE chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this FABE.
 - A decision by the committee to permit a review to take place in no way commits the eligible faculty, the FABE chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, the chair provides administrative support for the promotion and tenure review process as described below.
 - Late Spring: Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
 - Late Spring: Suggest names of external evaluators to the FABE chair.
 - Early Summer: Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
 - Early Autumn: Schedule and hold P&T Committee meeting(s) to review candidate dossiers.
 - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
 - Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the

meeting; and forward the completed written evaluation and recommendation to the FAFE chair.

- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- Provide a written evaluation and recommendation to the FAFE chair. In the case of joint appointees from another tenure-initiating unit, the full eligible faculty does not vote on these cases since FAFE's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on FAFE's cases.

3 Promotion and Tenure Committee Responsibilities

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

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

4 FAFE Chair Responsibilities

The responsibilities of the FAFE chair are as follows:

- To charge each member of the Promotion and Tenure Committee to conduct reviews free of bias and based on criteria.
- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this FAFE.
- After a POD review of the dossier, solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the FAFE chair, and the candidate. (Also see External Evaluations below.)
- To solicit an evaluation from the TIU chair of any TIU in which the candidate has a joint appointment.
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. The FAFE chair will leave the meeting to allow open discussion among the eligible faculty members.
- To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the FAFE review process:
 - of the recommendations by the eligible faculty and FAFE chair,
 - of the availability for review of the written evaluations by the eligible faculty and FAFE chair, and

- of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the FAFE chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the FAFE chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the FAFE chair recommends against promotion. A negative recommendation by the FAFE chair is final in such cases.
- To receive the eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the FAFE chair's independent written evaluation and recommendation, to the FAFE chair of the other tenure-initiating unit by the date requested.

5 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, all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for professional practice faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a professional practice faculty member will be made by the FAFE chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This FAFE 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.
- 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 recommendation made by an evaluator on the merits of the case.

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

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the FAFE chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate

do not agree to write, neither the Office of Academic Affairs nor this FABE requires that the dossier contain letters from evaluators suggested by the candidate.

FABE follows the Office of Academic Affairs [suggested format](#) for letters requesting external evaluations.

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

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

6 Dossier

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by him or her.

FABE will require unit-appropriate documentation, using the chart in Section VI.A.1 as a guideline for promotion to associate professor with tenure. Guidelines for documentation for promotion to professor appear in Section VI.A.2. It is the responsibility of FABE to evaluate and verify this documentation.

The time period for teaching documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion or the last five years, whichever is less, to present.

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

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion to present.

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

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 FABE. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

B Peer Evaluation of Teaching

The FABE chair, or associate chair for academic and extension programs, if appointed, oversees FABE's peer evaluation of teaching process.

Each year, the Academic Affairs Committee will submit a list to the FABE chair, or associate chair for academic programs if appointed, of courses/teachers to be assigned a peer evaluator. The list will meet the following criteria:

- probationary tenure-track and professional practice faculty at least once per year during the years of service before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned;
- tenured associate professors and non-probationary professional practice associate professors at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six-year period and of having at least four peer reviews of teaching before the commencement of a promotion review; and
- tenured professors and non-probationary professional practice 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 during the year of the review.

The FABE chair, or associate chair for academic and extension programs, if appointed, will assign peer evaluators. Peer evaluation is considered departmental service, so a list of faculty and courses evaluated will be included in the annual report to the FABE chair.

Scheduled peer teaching evaluations are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. The peer reviewer should be

provided with: 1) course syllabus at the time of their appointment to be able to schedule class visitation and review course materials; and 2) observer status on the course carmen site.

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 evaluator submits a written report to the FABE chair, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.

In addition to peer observations, faculty can demonstrate teaching improvement and outcomes by taking advantage of programs and certifications offered by through OSU's [Drake Institute for Teaching and Learning](#).