

# **Appointments, Promotion, and Tenure Criteria and Procedures for The Ohio State University at Mansfield**

Updated: September 2020

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Faculty Appointments, Promotion, and Tenure  
Criteria and Procedures for The Ohio State University at Mansfield

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## Table of Contents

1. Preamble .....	3
2. Campus Mission and Values .....	3
3. Appointments .....	4
Criteria .....	4
Tenure-Track Faculty .....	4
Clinical Faculty .....	4
Associated Faculty .....	5
Procedures .....	6
Tenure-Track Faculty .....	6
Clinical Faculty .....	7
Associated Faculty .....	8
4. Annual Reviews .....	8
Procedures .....	8
Probationary Tenure-Track Faculty .....	9
Fourth-Year Review .....	9
Exclusion of Time from Probationary Period .....	9
Tenured Faculty .....	10
Clinical Faculty .....	10
Associated Faculty .....	10
5. Merit Salary Increases and Other Rewards .....	10
Criteria .....	11
Procedures .....	12
Documentation .....	12
6. Reviews for Promotion & Tenure and for Promotion .....	12
Criteria .....	14
Promotion to Associate Professor with Tenure .....	14
Promotion to Professor .....	15
Procedures .....	16
Promotion to Associate Professor with Tenure .....	16
Responsibilities of the P&T Committee Chair .....	19
Responsibilities of All P&T Committee Members .....	20
Responsibilities of the Subcommittee Chair .....	20
Responsibilities of the Subcommittee Members .....	21
Responsibilities of the Procedures Oversight Designee .....	21
Responsibilities of the Candidate .....	22
Responsibilities of the Campus Dean and Associate Dean .....	23
Promotion to Professor .....	24

Overview of Responsibilities for Promotion to Professor Responsibilities of the Candidate .....	25
Responsibilities of the Promotion Committee .....	25
Responsibilities of the Campus Dean.....	26
Documentation .....	26
7. Appeals of Reviews for Promotion and Tenure .....	27
8. Procedures for Student and Peer Evaluation of Teaching .....	27
Student Evaluation of Teaching .....	27
Peer Evaluation of Teaching .....	27
Appendix A: American Association of University Professors Statement on Professional Ethics.....	29
Appendix B: Schedule of Faculty P&T Review Process .....	30
Appendix C: Checklist for Procedures Oversight Designee .....	31

## 1. 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 (OAA) [Policies and Procedures Handbook](#); the governance documents of tenure-initiating units (TIUs); and other policies and procedures of the university to which the Mansfield campus and its faculty are subject.

Should those rules and policies change, the Mansfield campus will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every five years on the appointment or reappointment of the campus Dean and Director (henceforth “the Dean” or “the campus Dean”).

The Dean of the Mansfield campus and the Office of Academic Affairs must approve this document before it may be implemented. It sets forth the campus’s mission and, in the context of that mission and the mission of the university, the campus’s criteria and procedures for faculty appointments and faculty promotion, tenure, renewal, and rewards, including salary increases. In approving this document, the campus Dean and the Office of Academic Affairs accept the mission and criteria of the campus and delegate to it the responsibility to apply high standards in evaluating current faculty and candidates for faculty positions in relation to the campus’s mission and criteria.

The faculty and the administration are bound by the principles articulated in University Faculty Rule [3335-6-01](#). In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in University Faculty Rule [3335-6-02](#) and other standards specific to this campus and relevant TIUs; 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](#).

## 2. Campus Mission and Values

Through its Mansfield campus, The Ohio State University extends its geographical reach to offer world-class educational opportunities to communities throughout North Central and Northeast Ohio. In achieving its mission, The Ohio State University at Mansfield is guided by the following core values:

**Ohio State Quality:** All courses and curricula offered on the Mansfield campus maintain the same high standards of content and academic quality as those offered on the Columbus campus. All tenure-track faculty hold the highest degree awarded by their profession, and all non-tenure track faculty hold at least a master’s degree or its equivalent. Tenure-track faculty are members of their university-wide departments and meet departmental criteria for promotion and tenure. Such faculty remain current in their professions by engaging in active

scholarship and creative activity. Clinical and associated faculty meet the criteria for contract renewal through excellence in teaching.

**Student-Friendly:** Excellence in teaching is the standard on the Mansfield campus, and all faculty strive to achieve continuous improvement in working with students. Class size is kept relatively small, and faculty members help students learn both inside and outside of the classroom. Highly professional staff members support student learning in many ways such as maintaining facilities, advising students, tutoring, and providing a variety of other support services.

**Broad and Open Access:** The Mansfield campus maintains Ohio State’s Land Grant mission of making higher education accessible to all students. As such, we follow an open admission policy. The campus strives to engage the larger community in all its complexity. Scholarships and other financial aid help many students surmount financial obstacles, and the campus’s support services help students achieve academic success.

**Community Involvement:** The campus strives to create meaningful partnerships with the community, focusing especially on workforce and economic development, the arts and culture, and support for area schools. Many faculty and staff contribute time, money, and expertise for the good of the community. At the same time, community leaders help the campus assess community needs, and the community contributes generous financial assistance to support students. A community Board helps advise the campus Dean.

**Campus Culture:** At Ohio State, we celebrate and learn from different viewpoints and perspectives. The campus leadership works to foster an environment in which all persons are respected and all debate is open, civil, reasonable, and guided by the constant pursuit of knowledge.

### **3. Appointments**

#### **Criteria**

##### **Tenure-Track Faculty**

Each TIU at Ohio State defines a set of criteria, including scholarship and creative activity, for hiring tenure-track faculty at Ohio State’s regional campuses (TIU governance documents are available [here](#)). In addition, University Faculty Rule [3335-6-04](#) D.1 notes that “the relative weight of teaching and service is ordinarily greater on regional campuses.”

##### **Clinical Faculty**

Appointment as a clinical faculty member requires that the individual have an earned doctorate or other terminal degree in the relevant field or a master’s degree and significant experience in a field appropriate for the subject matter to be taught. Evidence of or potential for high-quality instructional ability is required.

Appointments of clinical faculty entail a three- to five-year contract. The initial appointment is probationary, with reappointment considered annually. Beyond the probationary period,

reappointments are made for a term of not less than three and not greater than five years. Clinical faculty are not eligible for tenure. There is also no presumption that subsequent contracts will be offered, regardless of performance. Reappointment is based on the faculty member's performance and the continued needs of the campus. If the campus wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. See University Faculty Rule [3335-7](#) for more information. A member of the clinical faculty is referred to as a "Professor of Practice" with qualifiers "Assistant" or "Associate" as appropriate.

#### Associated Faculty

**Lecturers and Senior Lecturers.** Appointment as a lecturer requires that the individual have, at a minimum, a master's degree or its equivalent in a field appropriate for the subject matter to be taught. Evidence of or potential for high-quality instructional ability is required.

Lecturers are not eligible for tenure. Appointment as a senior lecturer requires that the individual have, at a minimum, a doctorate or terminal degree in a field appropriate for 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 at Ohio State Mansfield with documented high-quality performance. Senior lecturers are not eligible for tenure.

Lecturers' and senior lecturers' responsibilities pertain primarily to formal course instruction and professional development related to course instruction. The Associate Dean will follow criteria established by TIUs in determining whether a candidate is qualified for a lecturer appointment. Associated faculty appointments are generally made for a period of one year, unless a shorter period is appropriate to the circumstances. All associated faculty appointments expire at the end of the appointment term; renewal of such appointments is based on a performance review as well as the continued need for the position.

#### **Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.**

Visiting faculty may either be compensated or not compensated. Visiting faculty members on leave from a regular academic appointment at another institution are appointed at the rank held at that institution. The rank at which other visiting faculty are appointed is determined by applying the criteria for appointment of tenure-track faculty. Visiting faculty are not eligible for tenure or promotion. They may not be reappointed for more than three years at 100% FTE.

**Reemployment of retired faculty.** For eligibility requirements and guidelines on the rehiring of faculty who have retired from The Ohio State University, see the Office of Human Resources (OHR) Policy on Reemployment of Faculty and Staff ([Policy 4.25](#)). It is acceptable for units to negotiate some post-retirement work with non-retired faculty in order to facilitate retirement. Yet long-term agreements are inappropriate, and even short-term agreements should be made subject to availability of funds,

programmatic needs, and performance. Reemployment of retired faculty is not an entitlement and cannot be guaranteed. Note that faculty may be rehired into the same position at greater than 75% FTE only if the salary is not greater than 75% of the base salary at the time of retirement. Note also that the personnel action of entering a retired faculty member into the OHR system as an emeritus appointment should not be confused with the reemployment of a retired faculty member (see the OAA [Faculty Appointments](#) policies).

## **Procedures**

### **Tenure-Track Faculty**

Candidates are interviewed by, at a minimum, the regional campus Dean, TIU head, and TIU representatives. A decision to make an offer requires agreement by the TIU head and regional campus Dean. Until agreement is reached, negotiations with the candidate may not begin; the letter of offer must be signed by the TIU head and the regional campus Dean.

Decisions to create new positions and fill vacant positions are the responsibility of the Dean. The Teaching and Learning Committee, a standing committee of the Mansfield campus Faculty Assembly, is charged with advising the Dean on such decisions. The Mansfield campus has primary responsibilities for determining the position description for a tenure-track faculty search, but the Dean or designee consults with the TIU head to reach agreement on the description before the search begins.

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

The Dean, in consultation with the head of the TIU, will appoint a search committee to identify candidates for the position. The committee will include at least one Columbus campus member of the TIU unless the TIU head declines to recommend such an appointment.

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 Dean'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, and 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 Dean a summary of those applicants (usually three to five) judged worthy of interview. If the Dean agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the Dean’s office. If the Dean does not agree, the Dean in consultation with the search committee determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

Applicants invited for a campus interview will visit both the Mansfield campus and the Columbus campus. The TIU is responsible for determining what the candidate will do during the visit to the Columbus campus. At the Mansfield campus, the candidate will deliver a scholarship or creative activity presentation, submit to questions from the search committee, and receive personal interviews with the Dean, the Associate Dean, and appropriate faculty members. The presentation is meant not only to showcase the candidate’s scholarly or creative work but also to give the audience a sense of the candidate’s teaching style; as such, these presentations are open to all members of the campus community, including students. The interview process at the Mansfield campus may include a group meeting with students and may also include presentations delivered by way of video-conference technology to other campuses. All candidates interviewing for a particular position must follow the same interview format.

To the head of the TIU and the Dean, the search committee will deliver a recommendation indicating which candidates are acceptable, in order from most acceptable to least acceptable. The TIU head will follow the TIUs procedures for selecting a candidate for an offer. According to University Faculty Rules, hiring can go forward only when the Dean and the TIU head reach agreement. Upon such agreement, the Dean can begin negotiations with a candidate.

The Dean consults with the TIU head in determining negotiation parameters. Letters of offer must present the signature of the Dean and the TIU head, and in some cases, the dean of the relevant college. The offer letter will generally specify that the candidate has two weeks to respond.

Any exceptions to this process require OAA approval.

### **Clinical Faculty**

The candidate search and appointment procedures for clinical faculty are the same as those for tenure-track faculty (see section 3, above).



## **Associated Faculty**

**Lecturers.** The Associate Dean, in consultation with the Dean, the TIU head, program coordinators and other relevant faculty members, appoints lecturers to teach specific courses.

**Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.** The appointment and reappointment of all visiting faculty members are decided by the Dean in consultation with the Associate Dean, TIU head, and relevant faculty members.

**Retired faculty.** Rehiring a retired faculty member requires approval of the campus Dean, the TIU head, and OAA prior to extending an offer (see the [Request to Rehire Retired Ohio State Faculty/Staff](#)).

## **4. Annual Reviews**

The Dean, in consultation with the Associate Dean, conducts an annual review of all tenure-track, clinical, and visiting faculty members. TIUs must also conduct annual reviews for tenure-track and clinical regional campus faculty members, and those faculty members bear the responsibility of finding out what documentation is required by their respective TIU. For tenure-track and clinical faculty, the campus annual review focuses primarily on teaching and service; the TIU bears primary responsibility for assessing scholarship or creative activity productivity. For visiting and associated faculty, annual reviews focus on summative teaching evaluation and formative self-assessment. The Associate Dean reviews associated faculty teaching through student evaluation of instruction as well as the Peer Evaluation of Teaching process; all full-time associated faculty meet with the Associate Dean annually for a performance review.

## **Procedures**

The campus follows the Office of Academic Affairs policies for annual review and reappointment (available [here](#)). The annual review covers a tenure-track faculty member's performance over the previous calendar year in relation to expected performance in teaching, service, and scholarship or creative activity (the scholarship or creative activity performance assessment may reflect the prior three years' productivity), as set forth in the campus's policy on "Duties and Responsibilities of Faculty" (in the campus [Faculty & Staff Handbook](#)). The annual review also covers any additional assignments and goals specific to the individual as well as progress toward promotion where relevant. Annual reviews for clinical faculty are the same except that scholarship or creative activity is not expected.

The documentation required by Ohio State Mansfield for the annual performance review of every tenure-track and clinical faculty member is described under "Merit Salary Increases and Other Rewards" (section 5) below. This documentation is separate from and in addition to any documentation required by a faculty member's TIU for its annual review of that faculty member. In conducting each annual review for tenure-track and clinical faculty, the Dean and Associate Dean review the faculty member's annual review materials, including the faculty-approved method of self-assessment for service (see the campus [Faculty & Staff Handbook](#)). Faculty members typically submit their annual review materials by January 31 of the year

following the year to be reviewed. The deans' review includes data on teaching performance (e.g. peer evaluations, student evaluation of instruction data, etc.) and service.

In the penultimate contract year of a clinical faculty member's initial appointment, the Dean, in consultation with the Associate Dean, 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 University Faculty Rule [3335-6-08](#) must be observed. If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review follows the review procedures for promotion of clinical faculty. There is no presumption of renewal of contract.

All faculty members have the right (per University 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.

### **Probationary Tenure-Track Faculty**

The Dean meets with each probationary faculty member to discuss the faculty member's performance and then prepares a letter summarizing the performance evaluation. The Dean sends the original letter to the faculty member and a copy of the letter to the TIU head. In the event of divergence in performance assessment between the Dean and the TIU, the Dean discusses the matter with the TIU head in an effort to clarify and reconcile the divergence so that the faculty member receives consistent assessment and advice.

### **Fourth-Year Review**

During the fourth year of the probationary period, a faculty member undergoes a fourth-year review that serves as the annual review for that year; this review follows the same procedures as the mandatory tenure review with the exception that the external review letters are not required. The chair of the campus's Promotion and Tenure committee (P&T Committee) conducts a review of the faculty member according to section 6 of this document (below), which also provides additional information about the P&T Committee. The chair sends the committee's evaluation letter to the Dean, who, after completing an independent review of the faculty member's record and reviewing the letter from the chair of the P&T Committee, sends both her or his own letter and the committee's letter to the faculty member's TIU head. The letter from the Dean includes a recommendation regarding whether or not to renew the faculty member's appointment for an additional probationary year. The review then moves to the TIU and then to the faculty member's college. The college dean makes the final decision regarding renewal or nonrenewal of the probationary appointment.

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

University 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, including for such reasons as the birth of a child, adoption, and adverse events. Additional procedures and guidelines can be found in the OAA [Policies and Procedures Handbook](#).

### **Tenured Faculty**

The annual review process for tenured faculty members is identical to that for tenure-track probationary faculty.

Associate professors and professors are reviewed annually by the Dean. 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 campus and their TIU, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in both teaching and mentoring students; and outstanding service to the campus, their TIU, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review.

The Dean prepares a written evaluation of the performance of all tenured faculty members. The Dean sends the evaluation to the faculty member and sends a copy to the faculty member's TIU head. In the event of divergence in performance assessment between the Dean and the TIU, the TIU head and the Dean discuss the matter in an effort to clarify and reconcile the divergence so that the faculty member receives consistent assessment and advice. The Dean has the authority to make the final decision in case of a difference of opinion regarding a specific performance rating.

The faculty member may provide written comments on the review.

### **Clinical Faculty**

The annual review process for clinical faculty members is identical to that for tenure-track probationary and tenured faculty.

### **Associated Faculty**

Annual reviews of all associated faculty, except visiting faculty, are the responsibility of the Associate Dean. The decision to renew a compensated associated faculty member's appointment resides with the Dean, whose decision is final. Review of visiting faculty members is the responsibility of the campus Dean. The Dean's decision about renewal is final.

## **5. Merit Salary Increases and Other Rewards**

## **Criteria**

Merit salary increases for tenured and tenure-track faculty are based as much on qualitative as quantitative contributions in each of the three areas of tenure-track faculty activity: teaching, service, and scholarship or creative activity. Clinical faculty merit salary increases are based on teaching and service contributions, and associated faculty increases are based on teaching.

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

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

The campus Dean, in consultation with the Associate Dean and with the appropriate TIU head, annually assesses tenure-track faculty performance in teaching, service, and scholarship or creative activity in accordance with the same criteria that form the basis for promotion decisions (see section 6, below). Clinical faculty are assessed on teaching and service, including service to the Columbus department. The time frame for assessing teaching and service is the previous calendar year. The time frame for assessing scholarship or creative activity may be longer, dependent on the TIU; wherever possible, however, the Dean and Associate Dean will request a rating that reflects the previous three years for scholarship or creative activity in order to attend to longer-term patterns of increasing or declining productivity. Faculty with high-quality performance in all relevant areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more relevant areas are likely to receive minimal or no salary increases.

The campus's standard tenure-track weighting for salary adjustments is 50% for teaching, 40% for scholarship or creative activity, and 10% for service. For clinical faculty, the weighting is typically 90% teaching and 10% service. During the annual performance review, a faculty member may ask the campus Dean to adjust his or her salary weighting for the year following the year under review. The Dean, in consultation with the Associate Dean and the individual faculty member, may choose to modify the respective weighting of teaching, service, and scholarship or creative activity performance in situations where a faculty member's assigned responsibilities deviate in a significant way from the typical profile. Faculty members contribute to the mission of the campus and university in different ways, and their contributions to each of the three major areas will likely vary over time.

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

## **Procedures**

The Dean determines annual salary increases and other performance rewards. The Dean, in consultation with the Associate Dean, rates each tenure-track and clinical faculty member's annual performance in teaching and service; the Dean consults with the appropriate TIU head to rate each tenure-track faculty member's performance in scholarship or creative activity. Taken together, these ratings are used to formulate salary increases for meritorious annual performance. In making salary increase recommendations, the Dean also considers market and internal equity issues as appropriate. The following scale is used to assess each of the three areas of performance:

- 0 Well below expectations
- 1 Somewhat below expectations
- 2 Meets expectations
- 3 Somewhat above expectations
- 4 Well above expectations

Faculty members may meet with the Dean or Associate Dean to discuss their individual salary determination process, including but not limited to their salary, salary increase, and/or their ratings. In addition, faculty should consult the faculty salary equity appeals process: see Volume 1, Chapter 3, section 2 of the OAA [Policies and Procedures Handbook](#).

## **Documentation**

The Dean or Associate Dean will inform faculty in a timely manner of impending deadlines and required materials. Faculty members annually submit review materials that include an updated CV. Probationary faculty members and associate professors must provide an updated OSU dossier. In order to understand a faculty member's student evaluation of instruction data and peer evaluations in context, the Dean may also review a faculty member's grade distributions and drop rates.

Faculty members must check with their TIU to determine what documents to submit to the TIU for their annual review.

## **6. Reviews for Promotion & Tenure and for Promotion**

Promotion and Tenure decisions are the most important decisions a university makes because they ultimately determine the strength of the university's faculty and, thus, the quality of the university. Detailed P&T procedures exist to ensure that P&T decisions are informed and fair.

P&T decisions should uphold and strengthen the institution. Personal likes and dislikes must be set aside; even humanitarian concerns must be secondary. P&T criteria must reflect, and decisions must be based upon, the best long-term interests of the institution.

P&T decisions involve faculty peer review and administrative review at many levels. For Mansfield campus candidates, the process begins with peer review and a recommendation by a

committee of tenured campus faculty members, followed by a recommendation by the Dean. These campus recommendations become part of subsequent reviews conducted by faculty and administrators in the candidate's department or school (i.e., the TIU), college, and OAA.

Before tenure, a tenure-track faculty member is considered to be on probationary status. Annually, a decision is made as to whether to renew the appointment of a probationary faculty member. A non-renewal decision (unless based upon fiscal or programmatic considerations) must be based on the results of an annual performance review conducted by the Dean using fourth-year review procedures (see section 4, above). Non-renewal of a probationary faculty member is not to be confused with dismissal for cause. A high level of performance must be documented for renewal, but even excellent performance does not guarantee renewal and tenure, for the needs of the institution may change.

Each step of this process follows detailed procedures set forth in the P&T documents of the respective academic units. Yet the procedures cannot replace judgment. Both are necessary to ensure that the ultimate decision is both free of bias and in the best interests of the university.

The following procedures are followed in conducting the Mansfield campus purview of P&T reviews of faculty. This document must be understood in its context as only one part of the university P&T process. In particular, candidates must inform themselves of the P&T criteria set forth by their TIUs and must organize their dossiers in the format prescribed by OAA (see the OAA [dossier outline](#)). Candidates should also study the procedures that will be followed by their TIUs, their colleges, and OAA. These are detailed in P&T documents promulgated by the respective units. In addition, the P&T review performed by the Mansfield campus P&T Committee is limited to evaluation of a candidate's teaching and service contributions. The campus review should not attempt to comment on the quality or quantity of scholarship; evaluation of scholarship is the responsibility of the TIU.

## **Definitions**

Promotion can be from Assistant Professor to Associate Professor or from Associate Professor to Professor. Tenure typically occurs in the course of promotion from Assistant Professor to Associate Professor for tenure-track faculty. Renewal of appointments of probationary faculty is assessed annually by the Dean (see section 4, above) but is also done twice with faculty involvement: first in the fourth-year review (see section 4, above) and second in the tenure review.

The Promotion and Tenure (P&T) Committee is composed of all tenured faculty on the Mansfield campus in the case of promotion and tenure decisions regarding tenure-track faculty; in the case of promotion decisions regarding clinical faculty, the committee also includes clinical faculty above the rank of the candidate under consideration. The quorum required for P&T Committee votes is two-thirds of all P&T Committee members who are not on an approved Leave of Absence, Faculty Professional Leave, or External Fellowship. Faculty who are on approved business travel and faculty who are assigned to teach during the time of the P&T Committee meeting are also excused from the quorum. A faculty member on

Special Assignment may be excluded from the count for the purposes of determining quorum only if the Dean has approved an off-campus assignment.

Faculty members who recuse themselves because of a conflict of interest are not counted when determining quorum. Faculty members who serve on the campus P&T Committee should consider such service as a professional obligation. Even so, a faculty member should not participate in the review of a particular candidate when he or she has a conflict of interest—for example, when the candidate is a close family member or has a similarly close relationship, or when the outcome of a review could result in professional or economic gain or loss for the committee member (see “Conflicts of Interest” in Volume 3 of the OAA [Policies and Procedures Handbook](#)). Given that different cases may entail different conflicts of interest, quorum must be determined separately for each case (each candidate) under consideration even if two or more cases are considered during the same P&T Committee meeting.

### **Promotion of Clinical Faculty**

The criteria for promotion of clinical faculty from Assistant Professor of Practice to Associate Professor of Practice and then to Professor of Practice focus on teaching and service and are determined primarily by the clinical faculty member’s department or TIU. For the Mansfield campus portion of the promotion review, the teaching and service performance expectations are the same for clinical faculty as for tenure-track faculty.

The regional campus procedures for clinical faculty promotion reviews are the same as the procedures detailed below for tenure-track faculty promotion and tenure reviews, with the exception that the full P&T Committee in such cases includes all clinical faculty above the current rank of the candidate being considered for promotion.

### **Criteria**

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

For a favorable P&T recommendation, the Mansfield campus requires candidates to demonstrate excellence in teaching, to have excellent records of service appropriate to their rank and discipline, and to have adhered to professional standards of ethical behavior. The summary of a candidate’s case, along with the P&T Committee’s recommendation, will take the form of a letter addressed to the Mansfield campus Dean. Candidates must also satisfy the scholarship or creative activity expectations their TIUs have established for regional campus faculty (primary responsibility for evaluating scholarship or creative activity productivity rests with the TIU). In rare instances, a decision not to reappoint a probationary faculty member may be based upon fiscal considerations or upon changes in the programmatic needs of the campus.

#### **Teaching**

Consistent with its mission, the Mansfield Campus requires excellent teaching for promotion and tenure. Teaching quality is assessed in multiple ways (see “Evaluation of Teaching” in the campus [Faculty & Staff Handbook](#) under “Appointments, Duties, and Review”). The assessment of teaching includes more than judging performance before a classroom audience.



In addition, course organization, communication of course goals to students, motivation, testing, and help outside of the classroom all contribute to teaching success. Student advising, curriculum development, and faculty involvement in student research may also be included as teaching contributions.

#### Service

All faculty members are expected to contribute to faculty governance and to render excellent service to, and beyond, the campus. The campus [Faculty & Staff Handbook](#) describes faculty service expectations (see “Tenure-Track Faculty Service Guidelines”). The P&T Committee may also consider the quality, in addition to quantity, of service performed. While the P&T Committee may examine service to the discipline and profession as well as the campus, it may also flag particular contributions for the TIU to evaluate in cases where the TIU may be the more appropriate judge of service quality and impact.

#### Scholarship or Creative Activity

Scholarship or creative activity expectations are set by the TIU. Each TIU has a statement of such expectations in its policies governing promotion and tenure. TIUs recognize that regional campuses differ from the Columbus campus in mission, teaching workload, and facilities, and they take these differences into account when considering P&T cases.

#### Professional Ethics

All faculty members are expected to observe commonly accepted standards of professional ethics. The attached AAUP statement (Appendix A) on professional ethics serves as a good summary of the professional ethical responsibilities of faculty members. Significant departure from these ethical standards inevitably compromises the institution’s ability to fulfill its missions. In any case where the faculty P&T Committee determines that a candidate has not met the ethical standards of the profession, that determination in itself may be grounds for non-renewal, even if the effects are not visible in the candidate’s teaching, service, and scholarship or creative activity. Nevertheless, such a case will be considered in the context of evaluating teaching and service.

#### Needs of the Campus

Under unusual circumstances it is possible that fiscal problems or changing needs of the campus might render a probationary faculty member’s position superfluous. These circumstances would constitute legitimate grounds for non-renewal even if the faculty member’s performance has been satisfactory. Non-renewal of a probationary appointment for fiscal or programmatic reasons does not entail a performance review but does require prior approval from the Executive Vice President and Provost.

#### **Promotion to Professor**

As with promotion to Associate Professor with tenure, the Mansfield Campus requires candidates for promotion to Professor to demonstrate excellence in teaching, to have excellent records of service appropriate to their rank and discipline, and to have adhered to professional standards of ethical behavior. Candidates must also satisfy the scholarship or creative activity



expectations their TIUs have established for regional campus faculty (primary responsibility for evaluating such productivity rests with the TIU).

## **Procedures**

This section consists of overviews of the procedures involved in P&T deliberations. In general, these are provided to furnish participants—including candidates, committee members, and the campus Dean—with guidelines intended to promote fairness, timeliness, and professionalism in P&T decisions.

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

#### **Appointment of Subcommittees & Chair**

Each October, the campus Dean will determine which faculty members are due for a faculty review in the next calendar or academic year. A faculty review is routinely scheduled during the fourth and sixth years of service of probationary Assistant Professors. Subsequent to the above determination, the Dean, in consultation with the tenured members of the Executive Committee, appoints a subcommittee for each candidate of at least three faculty members and designates a chair and a POD for each subcommittee; the Dean also appoints a chair for the full P&T Committee. Appointments are made each October. The full P&T Committee chair serves until the following October, and each subcommittee member serves until the conclusion of its case.

#### **Initial Organizational Meeting**

The Dean will convene an organizational meeting of the P&T subcommittees early enough in autumn semester to allow sufficient time for the rest of the review process. At this meeting, campus procedures will be reviewed, current procedural documents will be made available, and questions will be answered. In addition, the Dean will remind subcommittee members to consult the teaching schedules of candidates; subcommittee members must schedule timely evaluations of candidates' teaching.

#### **Campus-TIU Interface**

The head of the candidate's TIU will be contacted to ascertain when the campus recommendation must be received by the TIU. The Dean will be responsible for making this contact with the candidate's TIU, though in cases where both the candidate and the subcommittee chair are members of the same TIU, the Dean may delegate responsibility for contacting the TIU head to the subcommittee chair. The subcommittee chair will devise a schedule that will meet TIU scheduling needs (see Appendix B). The subcommittee chair is responsible for assuring that this schedule is communicated to the candidate, to subcommittee members, and to the P&T Committee chair. The P&T Committee should assume that their letter must be submitted to the campus Dean no later than two weeks prior to the case's due date to the Columbus TIU.

#### **Letter Summarizing the Faculty Evaluation**

After the subcommittee has examined and discussed the case, the subcommittee chair will write a letter addressed to the Dean; this letter will give a thorough and objective evaluation of

the case. It will evaluate the candidate's teaching and service contributions but not the candidate's scholarship or creative activity accomplishments. In addition to providing a balanced and objective summary of the candidate's case, the letter may include the following: a positive recommendation for continuation, promotion, or tenure; a negative recommendation; or no stated recommendation. The letter will be distributed to all subcommittee members for comment. If necessary, the subcommittee will meet to discuss constructive suggestions for improving the letter. The subcommittee chair will then forward the letter to the P&T Committee chair who may also supply comments and who will determine whether the letter is ready to be forwarded to the full P&T Committee. The letter should be made available to the full P&T Committee only once it has been approved by the P&T Committee chair. Since the letter will serve as the primary means of conveying the strengths and weaknesses of the candidate's case to the full committee, it should be highly polished.

#### Document Distribution to P&T Committee

The subcommittee letter should be distributed to each member of the full P&T Committee at least one week prior to the committee meeting, either as an electronic or hard copy, depending on the subcommittee chair's preference. The dossier (excluding external evaluative letters regarding scholarship or creative activity) and supporting materials may be provided online on a secure website to which the full P&T Committee has access. In addition, one hard copy should be provided to the Dean's office. If the dossier and supporting materials are not provided online to the full P&T Committee, then two hard copies should be provided to the faculty services office associate so committee members can have access to them; in that case, additional hard copies of the dossier should be made available to committee members who wish to receive such a copy, and the P&T Committee chair should query committee members to determine who would or would not prefer to receive a personal hard copy of each candidate's dossier. All distributed dossier copies and reports should be collected and destroyed, preferably by the P&T Committee chair, following completion of a decision. Yet documents generated for P&T reviews are public records, which means that one copy of these documents must be filed with the Dean's office in case of a request for access to these documents.

#### P&T Committee Meetings, Preliminary Considerations

The P&T Committee chair will convene meetings of the full committee as needed for discussion and voting. At least one week prior to meeting to review a given candidate, the P&T Committee chair will distribute that candidate's dossier and subcommittee letter for inspection. Comments on the letter, or on the dossier as a whole, may be supplied by P&T Committee members to the subcommittee chair (at the P&T Committee member's discretion) prior to the meeting of the full P&T Committee. Prior to the P&T Committee meeting, all discussion of the letter among committee members should be avoided, including electronic discussion.

It is the expectation of the P&T Committee that each subcommittee member will have fully read and vetted the candidate's dossier prior to the submission of the subcommittee's draft letter to the full committee. Indeed, it is the expectation that the subcommittee will provide the

bulk of the effort with regard to preparation of the letter and dossier and that the subcommittee will guide the P&T Committee's subsequent deliberations.

#### P&T Committee Meetings, Attendance

To achieve a quorum, at least two-thirds of the P&T Committee members must be present in person or electronically (see the discussion of P&T Committee membership and quorum under "Definitions" near the beginning of section 6, above). P&T Committee meetings should be scheduled when all subcommittee members involved in a given case can attend. Attendance will be taken by the P&T Committee chair to ensure that only P&T Committee members are present. Anyone who is not a member of the P&T Committee or who has a conflict of interest should be asked to leave before the meeting begins (again, see the above "Definitions" section for more information regarding committee membership and conflicts of interest). Meetings will be led by the P&T Committee chair (or appropriate replacement if necessary).

#### P&T Committee Meetings, Deliberations

Several candidates may be considered at the same meeting. Deliberations of each candidate's case center on the "teaching" and "service" sections of the dossier and consider the subcommittee's letter in detail. The subcommittee chair for a given case will lead the discussion of that case. The subcommittee chair will also relate any additional information or comments that have been received prior to the meeting from other committee members. Deliberations may lead to recommended changes in the wording of the subcommittee's letter or recommendations that the candidate revise the core dossier.

#### P&T Committee Meetings, Voting

Voting on a case may occur only after a motion has been made, seconded, and passed (with approval of two-thirds of those present) to end discussion. Voting is conducted via secret ballot, and the votes respond with "yes," "no," or "abstain" to the following proposition: "I support reappointment" (for fourth-year review cases) or "I support promotion and tenure" (for sixth-year review cases). The votes are counted immediately by both the P&T Committee chair and subcommittee chair, and the results are announced to those present. Only "yes" and "no" votes are counted. Consistent with Robert's Rules of Order, OAA does not consider abstentions to be votes, and they may not be counted in determining whether the unit's recommendation on a case will be positive or negative. Absentee ballots and proxy votes are not permitted, although faculty participating in real time electronically via Skype or the equivalent may vote by communicating their vote privately to the P&T Committee chair.

A recommendation for reappointment or promotion and tenure requires a simple majority. By way of example, if the full P&T Committee comprises 15 members, then at least 10 must be present to achieve a quorum; when the vote takes place, if 2 of these 10 members abstain, then at least 5 of the 8 members who cast "yes" or "no" votes must vote "yes" for recommendation of continuation to occur. Committee members who abstain are counted for purposes of determining whether a quorum has been achieved at the meeting but are not counted for purposes of determining whether a simple majority has been achieved in the vote.

Following the vote, further discussion may focus on additional changes to the subcommittee's letter in order to reflect the judgment of the full committee. The full committee's final letter may or may not conclude with a specific recommendation for the positive or negative disposition of the review. If a recommendation is made, then the letter should explain the recommendation. The letter will also specify the number of "yes" and "no" votes as well as the number of abstentions.

#### **Confidentiality**

It is important to remind committee members, including both the P&T Committee chair and subcommittee chair, that discussion of the case with non-committee members (with the exception of the Dean and Associate Dean) should not take place either prior to or subsequent to committee deliberations. This includes electronic or private discussions, including discussion with the candidate. Indeed, committee members should not inform candidates about the committee's discussions or vote without explicit approval from the campus Dean.

#### **Post-Meeting Procedures**

After the P&T Committee has voted and the meeting is completed, the subcommittee chair will amend the letter to reflect the full committee's input on the candidate's accomplishments, strengths and weaknesses, and final evaluation. The P&T Committee chair will review this letter to ensure that it reflects the full committee's judgment. Additional committee members may also review this letter at their request, the P&T Committee chair's request, and/or the subcommittee chair's request. Both the subcommittee chair and the P&T Committee chair will sign the completed letter. The P&T Committee chair will then deliver the signed letter, along with the procedures oversight checklist, to the campus Dean.

#### **Responsibilities of the P&T Committee Chair**

General: The responsibilities of the P&T Committee chair are to schedule meetings, approve letters before their distribution to the full committee, ascertain that only P&T Committee members are present at meetings, determine whether a quorum has been reached during meetings (see the discussion of quorum under "Definitions" near the beginning of section 6, above), and otherwise lead P&T Committee meetings. It is not always possible to schedule meetings when all committee members are able to attend; if possible, however, the chair of the P&T Committee should schedule meetings when all members of the candidate's subcommittee can attend. The P&T Committee chair is also responsible for monitoring all subcommittee schedules and ensuring that campus procedures are followed.

Specifically, the P&T Committee chair:

1. Confers with each subcommittee chair to produce realistic schedules;
2. Monitors subcommittees' adherence to the schedules;
3. Acts with the Dean to ensure a fair review in case there is evidence of bias or of procedural lapses;
4. Convenes and chairs meetings of the P&T Committee for the purpose of discussing each case, voting on each candidate, and giving direction regarding the review letter;

5. Distributes the dossier with a balanced and detailed summary of student written comments to the P&T Committee members at least one week prior to meeting, making sure that supporting materials are also available;
6. Distributes the subcommittee chair's draft of the review letter to the P&T Committee members at least one week prior to meeting;
7. Collects reports, dossiers, and other materials from committee members after the meeting for shredding;
8. Signs each review letter (as does the subcommittee chair);
9. Transmits each review letter and procedures oversight checklist to the Dean;
10. In case a candidate files an objection to the campus recommendation, confers with the Dean concerning whether to make a campus response to the objection.

### **Responsibilities of All P&T Committee Members**

General: P&T Committee members' responsibilities are to read the letter and dossier prior to meeting about the candidate's case, and then to participate in subsequent deliberations on that case. P&T Committee members review each case fairly; discuss the achievements, strengths, and weaknesses of each candidate; and vote on each candidate. P&T Committee members have full access to the personnel files of all candidates. P&T Committee members can also provide guidance to the candidate on how to improve the core dossier, although these should be communicated to the candidate through the subcommittee chair. Committee members also are expected to inform the P&T Committee chair, in a timely manner, if they are unable to attend a P&T Committee meeting.

Specifically, each member of the P&T Committee should:

1. Provide the P&T Committee chair with schedules of availability as requested;
2. Examine each dossier and supplemental materials and evaluate each candidate fairly;
3. Attend all P&T meetings (see above for attendance policies);
4. Participate in the discussion of each case;
5. Vote on the proposed action;
6. Make sure that extra copies of P&T documents used by the full P&T Committee after the review are destroyed, either by electronic deletion or hardcopy shredding (hardcopies should be given to the P&T Committee chair for shredding);
7. Report to the P&T Committee chair and to the Dean, or to the Office of Human Resources and the Vice Provost for Academic Policy and Faculty Resources in case of bias by the Dean, any sign of bias or procedural lapse.

### **Responsibilities of the Subcommittee Chair**

General: As elaborated above, the subcommittee chair is responsible for providing, in a timely manner, a letter giving a thorough and objective evaluation of a candidate's case to the full P&T Committee.

Specifically, the subcommittee chair:

1. Ascertains the schedule of the TIU (either through the Dean's office or by consulting directly with the TIU head);

2. In consultation with the P&T Committee chair, devises a schedule for the campus review and communicates this schedule to the candidate and the P&T Committee chair;
3. Arranges for a committee report containing a balanced and detailed summary of narrative student course evaluations;
4. Convenes subcommittee meetings with and without the candidate;
5. Arranges a meeting with the Dean and Associate Dean, if either the Dean or the subcommittee considers such a meeting to be needed;
6. Responds to requests by the candidate for information and advice, as appropriate;
7. Distributes the dossier with a balanced and detailed summary of student written comments to the P&T Committee chair at least one week prior to the P&T Committee meeting, making sure that supporting materials are also available;
8. Writes a thorough and objective evaluation of the case in the form of a letter, in consultation with the subcommittee and P&T Committee chair, and transmits that letter to the P&T Committee chair at least one week prior to the P&T Committee meeting;
9. After the case has been discussed and voted on by the P&T Committee, amends the P&T Committee letter so that it contains a fair summary of the P&T Committee's judgment, along with the vote;
10. Signs the P&T Committee's recommendation letter (as does the P&T Committee chair).

### **Responsibilities of the Subcommittee Members**

General: Each subcommittee is responsible for reviewing in detail the case of one candidate and preparing a thorough and objective evaluation of that case for presentation to the P&T Committee. Each member of a candidate's subcommittee will visit one or more of the candidate's classes within two years of the full P&T Committee meeting in which a candidate's case is considered. During these visits, subcommittee members should follow standard [peer evaluation of teaching conventions](#), including making arrangements with the candidate prior to attending specific classes. If the candidate submits narrative student teaching evaluations, then the subcommittee will prepare a written report presenting a balanced summary of these evaluations. This written report will be included as part of the candidate's dossier. The narrative evaluations themselves will be made available to any P&T Committee member upon request.

Specifically, each subcommittee member:

1. Provides the subcommittee chair with schedules of availability as requested;
2. Examines the candidate's dossier and other available materials in detail;
3. Participates in producing a written summary of the narrative student evaluations of teaching;
4. Visits one or more of the candidate's classes (over a period no greater than two years prior to voting on the candidate's case);
5. Participates in drafting a letter that objectively evaluates the candidate's performance in teaching and service;
6. Takes part in full P&T Committee deliberations (see above).

### **Responsibilities of the Procedures Oversight Designee**

General: The Procedures Oversight Designee (POD) is responsible for ensuring that the review follows proper procedures and is free of bias. There is one POD per subcommittee, and the POD is a voting member of that subcommittee.

Specifically, the Procedures Oversight Designee:

1. Checks the dossier to ensure it is correctly presented and asks the candidate to make changes as needed;
2. Monitors the entire campus process for a given candidate, watching for any evidence of bias or failure to observe campus procedures;
3. Reports immediately any sign of bias or procedural lapses to the P&T Committee chair and the Dean, or to the Office of Human Resources and the Vice Provost for Academic Policy in case of bias by the Dean;
4. Fills out a checklist, certifying points 2 and 3 (see Appendix C);
5. Submits the checklist to the P&T Committee chair at the time the P&T Committee votes on the candidate.

Although a single committee member is assigned oversight responsibility, all members of review bodies must accept personal responsibility for ensuring that all reviews are procedurally correct, fair, and free of bias. Review bodies, not only the POD, are ultimately responsible for the integrity of the review process.

### **Responsibilities of the Candidate**

General: Each candidate is responsible for knowing campus and TIU P&T criteria, for meeting these criteria, for gathering evidence of performance, for presenting that evidence in the prescribed dossier format using the current OAA guidelines, and for supplying documents to her or his subcommittee chair on a timely basis.

As described in their TIU's APT document, all candidates must submit a copy of the APT under which they wish to be reviewed. Candidates may submit their TIU'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.

Candidates are encouraged to attend campus and/or College workshops on the tenure process. The candidate should also feel free to contact the subcommittee chair at any time for advice or information. The candidate will supply the subcommittee with completed versions of her or his dossier, which includes teaching evaluations and all annual review letters since the date of hire. The subcommittee members will carefully read the supplied dossier. The subcommittee will then meet with the candidate to review the dossier and may make suggestions for revisions; however, responsibility for the dossier rests with the candidate. The subcommittee, at the subcommittee chair's discretion, may also meet with the candidate either prior to or following the mandatory meeting with the subcommittee during which the dossier is reviewed. Any candidate or subcommittee member (including the chair) may request a meeting with the

Dean and Associate Dean, if needed, to resolve procedural questions, to discuss aspects of the candidate's performance, or to follow up on items in the file or dossier.

Specifically, the candidate:

1. Consults with his or her TIU to learn the P&T procedures of the TIU;
2. Supplies qualitative and quantitative student evaluation of instruction data to the subcommittee chair (including the one-page quantitative SEI report for each course);
3. Prepares a dossier and any supporting materials in accordance with OAA's currently prescribed [format](#) and submits either three paper copies or an electronic version, on schedule and complete, to the subcommittee chair;
4. Meets with the subcommittee to review the dossier.

### **Responsibilities of the Campus Dean and Associate Dean**

General: The Dean is responsible for evaluating each candidate fairly and writing a separate letter of evaluation informed by an examination of the candidate's file and dossier as well as by the P&T Committee's letter. The Dean will also consult with the Associate Dean in evaluating each candidate. The Dean's evaluation letter will be sent to the TIU head along with the P&T Committee's letter; these become permanent parts of the case. If the Dean's recommendation differs from the majority vote of the P&T Committee, the Dean will request a meeting with the P&T Committee to present reasons for the difference. The final recommendations of the Dean and the P&T Committee need not be the same.

When the Dean is informed of the P&T Committee's vote, the Dean will promptly inform the candidate of the number of "yes" votes, "no" votes, and abstentions. Later, when the campus review is fully complete, the Dean will promptly inform the candidate of the outcome and will offer the candidate the opportunity to view both the P&T Committee's letter and the Dean's letter and offer comments. At the conclusion of the entire review process, the Dean will notify all members of the P&T Committee of the ultimate disposition of the case at the University level.

The Dean, in cooperation with the Associate Dean, shares responsibility with the P&T Committee for ensuring that campus review procedures are properly followed and deliberations are free of prejudice.

Specifically, the Dean, in consultation with the Associate Dean:

1. Ascertains, in consultation with TIU heads and OAA, which faculty members are candidates for formal review;
2. Appoints the campus P&T Committee chair and subcommittees in October with the advice of the Executive Committee;
3. Informs the candidate of her or his P&T subcommittee members;
4. Schedules and attends the initial organizational meeting with the newly formed P&T subcommittees and P&T Committee chair;
5. Monitors campus review procedures, investigates any evidence of bias, and corrects procedural lapses;



6. Responds in writing to the Procedures Oversight Designee (POD) in the event that the POD brings to the Dean's attention her or his concerns about any aspect of the review process;
7. Upon receipt of the P&T Committee letter, reviews the entire case and writes a recommendation to the TIU;
8. Notifies each candidate of the campus P&T Committee vote and then of the outcome of the Dean's review and offers the candidate the opportunity to see the P&T Committee's letter and the Dean's letter;
9. Notifies the P&T Committee members of the ultimate disposition of each case.

Specifically, the Associate Dean:

1. Ensures that all probationary faculty have their teaching reviewed, at least annually, by the campus Peer Evaluation of Teaching Committee.

### **Promotion to Professor**

The procedure for promotion to Professor is generally the same as the procedure for the tenure review but is non-mandatory and thus is typically initiated by the candidate's TIU in consultation with the candidate. When informed that a Mansfield faculty member expects to be considered by a TIU for promotion to Professor, the campus Dean will organize an ad hoc promotion committee consisting of three Professors from the Mansfield campus. The Dean may ask Professors from other OSU regional campuses to serve on the committee.

Once a TIU confirms that a candidate will be reviewed for promotion, the committee will review the last five years of the teaching and service portions of the candidate's dossier and will prepare a letter of evaluation based on their review. The committee will present the letter at a meeting of all eligible Professors on the Mansfield campus. This group will discuss the case and vote on a recommendation.

As early in the process as possible, the campus Dean will notify the promotion committee and the candidate about when the committee's letter and recommendation must be received by the Dean, as well as when the Dean's letter and recommendation must be received by the TIU. The committee should complete its letter to the Dean at least two weeks before the Dean's letter to the TIU is due.

Informed by the letter and recommendation, the Dean will review the dossier and write a recommendation letter to the TIU head. This review will be scheduled in accordance with the scheduling needs of the candidate's TIU.

Throughout the process, the candidate or the committee chair may request a meeting with the Dean to resolve procedural questions, discuss aspects of the candidate's performance, or seek clarification concerning items in the candidate's file or dossier. Similarly, the candidate or the committee chair may request a meeting between the candidate and the committee for clarification of procedural questions or items in the promotion materials.

## **Overview of Responsibilities for Promotion to Professor Responsibilities of the Candidate**

The candidate is responsible for knowing the TIU criteria for promotion to Professor and for understanding and following the campus, TIU, and university procedures associated with the promotion process. It is advisable for faculty to attend campus and/or college workshops on the promotion process. In order to facilitate advance planning, the candidate is encouraged to alert the Dean when there is a reasonable expectation that the candidate might be reviewed for promotion by the TIU during the following year. The candidate must prepare a dossier in accordance with OAA's currently prescribed format and submit electronic or hard copies on schedule to the chair of the campus promotion committee. The candidate must communicate with the TIU head as well as the chair of the TIU's promotion committee to be certain that all materials, procedures, and deadlines meet TIU and university guidelines.

The candidate should also be ready to provide the campus promotion committee with materials or information that may help clarify or strengthen the dossier. Faculty members who anticipate candidacy should work with the Dean's office and TIU to ensure at least three peer evaluations of teaching occur during the five years prior to the campus promotion process. Letters summarizing these evaluations must be in the candidate's personnel file. Potential candidates should be aware that some TIUs call for peer evaluation over a three- to five-year period prior to evaluation for promotion and sometimes specify what kinds of courses are to be observed. Here again, the candidate is responsible for knowing and fulfilling TIU requirements.

## **Responsibilities of the Promotion Committee**

The campus promotion committee's evaluation of the candidate's teaching and service should be guided in part by the expectations for promotion to Professor as stated in the P&T document of the candidate's TIU, including the TIU's statement concerning regional campus faculty members. According to OAA guidelines, the committee's letter must make clear "the expectations of the unit against which the candidate is being assessed"; the letter should therefore refer directly to the stated TIU expectations wherever appropriate. The work of the promotion committee should also be guided by relevant university rules (e.g., University Rule [3335-6-02](#)) as well as OAA guidelines (e.g., the OAA [Policies and Procedures Handbook](#)).

The promotion committee will have access to all documents related to the candidate's teaching for the previous five years. One member of the committee will prepare a written report presenting either a balanced sample or a detailed summary of students' written evaluations. This summary is also included in the candidate's dossier. Whenever possible, each member of the promotion committee will observe one or more of the candidate's classes within two years of the candidate's review for promotion.

A second member of the committee will prepare a summary of the candidate's record of service, focusing primarily on service completed after promotion to Associate Professor. This committee member should request clarification or documentation of reported service from the candidate as necessary. Occasionally, the committee member responsible for preparing the summary of service may need to seek clarification from the TIU head as to the standing of an activity listed in the dossier (e.g., does the TIU regard the activity as service or scholarship?).

The preparation of teaching and service summaries does not excuse any member of the committee from conducting a thorough examination of all materials submitted for promotion.

One member of the committee other than the chair will serve as the Procedures Oversight Designee (POD). The POD will be responsible for monitoring all aspects of the campus review process, reporting any sign of bias or procedural lapses immediately to the promotion committee chair and the Dean, and completing the procedures oversight checklist (Appendix C).

After the committee has examined and discussed the case, the committee chair will write a review letter that presents a thorough and objective evaluation of the case. A draft of this letter will be distributed to all committee members for comments. If necessary, the committee will meet to discuss suggestions for improving the letter.

When committee members have reached agreement concerning the letter, the chair will call a meeting of all eligible Professors on the Mansfield campus (see the definition of quorum near the beginning of section 6, above). At this meeting, eligible Professors will review and discuss the case and the letter prepared by the promotion committee. Substantive changes in the letter may be made at this time with approval of a simple majority. Eligible Professors will then vote on a recommendation, which will be recorded in the revised letter. Professors may, if necessary, participate electronically as described above under “Full Committee Meetings, Voting.” Following this meeting, the chair of the promotion committee will transmit the review letter, the teaching and service summaries, and the procedures oversight checklist to the campus Dean.

### **Responsibilities of the Campus Dean**

The Dean is responsible for evaluating each candidate fairly and shares responsibility with the POD for ensuring that campus procedures are followed and that deliberations are free of bias.

Upon receipt of the promotion committee’s letter, the Dean will examine the candidate’s file and dossier. Informed by this examination and by the promotion committee’s letter, the Dean will prepare a separate letter of evaluation. The Dean will send this letter to the TIU head along with the promotion committee’s letter. In cases where opinion is sharply divided or conflicts arise, the Dean will meet with the promotion committee prior to submitting the Dean’s letter in order to discuss the case as well as her or his recommendation. The final recommendations of the Dean and the promotion committee need not be the same.

When the campus review is complete, the Dean will promptly inform the candidate of the outcome and will offer the candidate the opportunity to view the letters prepared by the promotion committee and by the Dean. The Dean will notify all members of the promotion committee of the ultimate disposition of each case.

### **Documentation**

As noted above under Responsibilities of the Candidate, every candidate must submit a complete and accurate dossier that follows the OAA [dossier outline](#). While the P&T subcommittee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for the accuracy and completeness of all parts of the dossier that are to be completed by the candidate. The candidate must also submit separate documentation to her or his TIU according to that TIU's policies.

The campus review typically excludes the evaluation of scholarship or creative activity. In most situations, the candidate therefore does not submit scholarly or creative publications for the Mansfield campus review. Yet pedagogical scholarship related to one's teaching at the college level may constitute a teaching contribution. The P&T Committee will consider such publications in its evaluation of the candidate's teaching performance.

## **7. Appeals of Reviews for Promotion and Tenure**

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.

[3335-6-05](#).

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

### **Student Evaluation of Teaching**

Use of the Student Evaluation of Instruction (eSEI) is required in every course offered on this campus. Handwritten discursive student evaluations may also be used at the discretion of each faculty member. 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 and/or distribute handwritten evaluations. 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. If handwritten evaluations are used, faculty members should notify Faculty Services in advance; a student should return all handwritten evaluations to Faculty Services, after which they will be sent to the Dean's office for review before being returned to the faculty member.

### **Peer Evaluation of Teaching**

The Dean and Director oversees the campus's peer evaluation of teaching process in consultation with the Associate Dean. The Peer Review of Teaching (PET) Committee consists of all tenured members of the Ohio State Mansfield faculty. The committee is co-chaired by the Associate Dean and a faculty member appointed annually by the Dean. The co-chairs determine PET assignments, making reasonable efforts to distribute PET service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching on the campus. Although there is no presumption that a peer reviewer must be of equal or higher rank than the

faculty member being reviewed, such a model will be followed to the extent possible. More information is available in the in the campus [Faculty & Staff Handbook](#): see the [Evaluation of Teaching](#) and the [Peer Evaluation of Teaching Report Form](#).

At the conclusion of the teaching observations and review of relevant course materials, the PET reviewer meets with the candidate to give feedback and also submits a written report to the Dean and Director, 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.

Approved by Faculty Assembly on March 6, 2019

## **Appendix A: American Association of University Professors Statement on Professional Ethics**

*The statement that follows was originally adopted in 1966. Revisions were made and approved by the Association's Council in 1987 and 2009.*

### **Introduction**

From its inception, the American Association of University Professors has recognized that membership in the academic profession carries with it special responsibilities. The Association has consistently affirmed these responsibilities in major policy statements, providing guidance to professors in such matters as their utterances as citizens, the exercise of their responsibilities to students and colleagues, and their conduct when resigning from an institution or when undertaking sponsored research. The *Statement on Professional Ethics* that follows sets forth those general standards that serve as a reminder of the variety of responsibilities assumed by all members of the profession.

In the enforcement of ethical standards, the academic profession differs from those of law and medicine, whose associations act to ensure the integrity of members engaged in private practice. In the academic profession the individual institution of higher learning provides this assurance and so should normally handle questions concerning propriety of conduct within its own framework by reference to a faculty group. The Association supports such local action and stands ready, through the general secretary and the Committee on Professional Ethics, to counsel with members of the academic community concerning questions of professional ethics and to inquire into complaints when local consideration is impossible or inappropriate. If the alleged offense is deemed sufficiently serious to raise the possibility of adverse action, the procedures should be in accordance with the 1940 *Statement of Principles on Academic Freedom and Tenure*, the 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings*, or the applicable provisions of the Association's *Recommended Institutional Regulations on Academic Freedom and Tenure*.

### **The Statement**

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors

demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

## **Appendix B: Schedule of Faculty P&T Review Process**

The schedule for each campus faculty review will be set by the subcommittee chair, after learning TIU scheduling requirements, in consultation with the P&T Committee chair and Dean. Each schedule must include the following elements; it may also include additional subcommittee meetings.

\_\_\_\_\_ Subcommittee members observe one or more of the candidate's classes (within two years of the candidate's review by the full P&T Committee).

\_\_\_\_\_ Candidate submits to subcommittee chair electronic or hard copies of the dossier and supporting documents. *It is recommended to do this two months or more prior to the due date of the Dean's letter to the TIU head.*

\_\_\_\_\_ Subcommittee meets with the candidate to review the dossier and answer any questions.

\_\_\_\_\_ Subcommittee chair distributes the draft letter of the case to subcommittee members.

\_\_\_\_\_ Subcommittee meets (without the candidate) to come to consensus on the evaluation letter.

\_\_\_\_\_ Subcommittee chair distributes the letter to the P&T Committee chair.

\_\_\_\_\_ P&T Committee chair distributes the letter to the P&T Committee and makes the dossier and other materials available. *Do this at least one week prior to the meeting of the P&T Committee.*

\_\_\_\_\_ P&T Committee meets and votes.

\_\_\_\_\_ P&T Committee chair submits the results of the vote, the review letter (signed by the P&T Committee chair and subcommittee chair), and the procedure oversight checklist to the Dean. *Do this two weeks before the Dean's letter is due to the TIU head.*

\_\_\_\_\_ Dean forwards the P&T Committee and Dean's letters to the TIU head.

## **Appendix C: Checklist for Procedures Oversight Designee**

Name of Candidate

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Name of Procedures Oversight Designee

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***Items 1 - 2 of this list must be reviewed for each faculty member under review at the outset of the review process. All problems must be corrected before the review process continues.***

1. The relevant aspects of the dossier (i.e., those related to teaching and service) have been prepared correctly (according to current OAA guidelines), and no extraneous materials are included (e.g. unsolicited letters, news clippings, etc.).
2. Candidate SEI summaries and summaries of students' narrative evaluations are included with the candidate's dossier.

***Items 3 - 5 must be monitored as the Mansfield campus review proceeds to assure adherence to campus policies and procedures. Read the document carefully. Sometimes units deviate from written procedures without realizing it. Procedural errors, particularly when likely to have affected the outcome of deliberations, are the primary basis for appeals of negative decisions.***



*Should you have concerns about any aspect of the review process, immediately bring them to the attention of the P&T Committee chair and the Dean. The Dean must respond to you in writing regarding the matter.*

3. Mansfield campus procedures for reviews have been followed.
4. Reviews have been based on performance and have been free of bias.
5. The review letter of the campus P&T Committee provides a detailed account of the faculty member's accomplishments, strengths, and weaknesses along with the recorded vote.

*[Faculty Rule 3335-6-01](#) stresses the primacy of peer review in promotion and tenure reviews; cases are sent back for re-review when this critical assessment provides an inadequate foundation for the remainder of the review process.*

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Signature of Procedures Oversight Designee

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Date