

**Appointments, Promotion, and
Tenure
Criteria and Procedures for
The Ohio State University
Department of Teaching and
Learning**

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I Preamble

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

Should those rules and policies change, the department 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 department 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 department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to department 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 department 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 Department Mission

The vision of the Department of Teaching and Learning is, “We envision humanizing education contexts that are critical, inclusive and equitable, and that disrupt and decolonize systems of oppression, where all people are committed to working towards equity, anti-racism, and racial and linguistic justice.”

Our mission is to generate knowledge with communities and educators about effective practices for learning and teaching processes affecting people in diverse schools and environments, families, and communities through world-class research, innovative teaching, and responsive service that addresses pressing educational problems both locally and globally. We are especially concerned about preparing researchers, educators, and teachers who understand and enact social justice.

Accordingly, the major focus of the department is the preparation of students:

- *To be well prepared in theory, evidence-based, and research-based practices in pedagogy.*
- *To develop the knowledge, pedagogical abilities, and dispositions within a strong social justice framework to effectively teach all learners in ways that are culturally relevant and sustaining.*
- *To become leaders in the field, helping to critique and re-conceptualize knowledge and pedagogy for academic content, critical inquiry and reflection, and learning processes.*

Our mission and vision link directly to The Ohio State University's as well as the College's Vision, Mission, Values and Goals. The four core elements are critical components in terms of achieving the university's goals:

- *To provide unsurpassed, student-centered learning experience led by engaged world- class faculty and staff, and enhanced by a student body from around the world;*
- *To create distinctive and internationally recognized contributions to the advancement of fundamental knowledge and scholarship and toward solutions of the world's most pressing problems;*
- *To advance a culture of engagement and collaboration involving the exchange of knowledge and resources in a context of reciprocity with the citizens and institutions in Ohio, the nation, and the world;*
- *To be an affordable public university, recognized for financial sustainability, unparalleled management of human and physical resources, and operational efficiency and effectiveness.*

III Definitions

A Committee of the Eligible Faculty

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

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

1 Tenure-track Faculty

Initial Appointment

Reviews

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

Reappointment, Promotion, or Promotion and Tenure Reviews

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

2 Clinical Faculty

Initial Appointment Reviews

- For an appointment (hiring or appointment change from another faculty type) review of

an assistant clinical professor, the eligible faculty consists of all tenure-track faculty and all clinical faculty in the department.

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

Reappointment, Contract Renewal, and Promotion Reviews

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

3 Associated Faculty

Initial Appointment, Reappointment, and Contract Renewal

- Initial appointment (hiring or appointment change from another faculty type), reappointment, and contract renewal of associated faculty members are decided by the department chair in consultation with the Associate Dean of Academic Affairs.

Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary clinical faculty and tenured faculty of equal or higher rank than the position requested) and prior approval of the college dean.

Promotion Reviews

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

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

The promotion of a lecturer to senior lecturer is decided by the department chair in consultation with the Associate Dean for Faculty Affairs.

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

B Promotion and Tenure Committee

The department has a Promotion and Tenure Committee that assists the eligible faculty in managing the personnel and promotion and tenure issues. The committee consists of 7 members, the majority of whom must be professors with associate professors in the minority and are elected by the faculty. One committee member must be a member of one of the regional campuses. A professor alternate and an associate professor alternate shall also be elected. Per the POA document, committee members may not serve two consecutive terms on the same committee. The chair of the committee shall be a professor. At its first organizational meeting of the calendar year, the committee will select and confirm its chair. The chair of the committee shall serve for one year and can be re-appointed for one additional year. The maximum term for the chair position is two consecutive years. The committee will select a chair-elect as well so that there is a succession plan in place. The expectation is that the chair-elect will succeed the chair after their term is complete.

A Procedures Oversight Designee (POD) will also be selected by the committee at its initial meeting and serve a one-year term but may serve subsequent years of the three-year term. If need be, the committee can appoint more than one POD. The designee should assure that the review body at each level follows written procedures governing its reviews, that the proceedings are carried out in a highly professional manner. This person shall use the checklist of information provided in the OAA document.

When considering cases involving clinical faculty the Promotion and Tenure Committee may be augmented by *one* nonprobationary clinical faculty member.

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 are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the department 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.
- In the case of a joint appointment, the department must seek input from a candidate’s joint-appointment TIU prior to his/her/their appointment.

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

- A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when two-thirds of the votes cast are positive.
- In the case of a joint appointment, the department must seek input from a candidate’s joint-appointment TIU prior to his/her/their reappointment, promotion and/or tenure, or contract renewal.

IV Appointments

A Criteria

The department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department. Important considerations include the individual's record to date in teaching, scholarship and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the department. 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 department. The search is either cancelled or continued, as appropriate to the circumstances.

1 Tenure-track Faculty

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

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

Assistant Professor. An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the department 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 except through an approved request to exclude time from the probationary period.

Associate Professor and Professor. Appointment offers at the rank of Associate Professor or Professor and offers of prior service credit require prior approval of the Office of Academic Affairs.

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

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

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

2 Clinical Faculty

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

The department supports Clinical Faculty. These appointments exist for faculty members who focus principally on the education needs of students in the department or college. Clinical

Faculty members are expected to contribute to the department's research and education mission as reflected in undergraduate and graduate program development and teaching. Clinical Faculty appointments are made in accordance with Faculty Rule [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the department.

Clinical Instructor. Appointment is normally made at the rank of clinical instructor when the appointee has not completed the requirements for the terminal degree. The department will make every effort to avoid such appointments. As noted above, 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 three-year contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

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

Associate Clinical Professor and Clinical Professor. Appointment at the rank of associate clinical professor or clinical professor requires that the individual have an earned doctorate (*or appropriate terminal degree*) and the required licensure/certification in his/her/their specialty (*if applicable*), and meet, at a minimum, the department's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks.

3 Associated Faculty

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

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the department, 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 or clinical faculty, as appropriate to the appointment. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track or clinical faculty, as appropriate to the appointment.

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.

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

The initial appointment for a lecturer should generally not exceed one year.

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

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

4 Regional Campus Faculty

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

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

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, clinical/teaching/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 department chair (regional campus dean for associated faculty on regional campuses) outlining academic performance and citizenship. The Committee of Eligible faculty (tenured associate professors and professors, and nonprobationary associate clinical professors, and nonprobationary clinical professors) will review the application and make a recommendation to the department chair. The department 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 [3335-5-04](#), emeritus status will not be considered.

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

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

6 Courtesy Appointments for Faculty

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

B Procedures

The appointment of all compensated tenure-track, clinical, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT](#) Framework for faculty recruitment.

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

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

All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. A formal review and selection process, including interviews using pre-designed evaluation rubrics, is required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](#) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

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

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

1 Tenure-track Faculty on the Columbus Campus

A national search is required to ensure a pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement

and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Searches for tenure-track faculty proceed as follows:

The dean of the college provides approval for the department 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 department 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 the department.

Prior to any search, members of all search committees must undergo the trainings identified in the [SHIFT](#) Framework for faculty recruitment. In addition, all employees/faculty involved in the hiring and selection process must review and acknowledge the EEO Recruitment and Selection Guidelines in the BuckeyeLearn system.

If the offer involves senior rank, the eligible faculty members vote on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the department 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 department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair.

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

2 Clinical Faculty on the Columbus Campus

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

3 Transfer from the Tenure Track

Tenure-track faculty may transfer to a clinical appointment if appropriate circumstances exist. Tenure or tenure eligibility is lost upon transfer, and transfers must be approved by the department 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 clinical appointment to the tenure track are not permitted. Clinical faculty members may apply for tenure-track positions and compete in regular national searches for such

positions.

4 Associated Faculty on the Columbus Campus

The appointment, reappointment, and contract renewal of all compensated associated faculty are decided by the department chair in consultation with the Associate Dean for Faculty Affairs.

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

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department and are decided by the department chair in consultation with the Associate Dean for Faculty Affairs.

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

Lecturer and senior lecturer appointments are made on an annual basis and rarely semester by semester. After the initial appointment, and if the department'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.

5 Regional Campus Faculty

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

Candidates are interviewed by, at a minimum, the regional campus dean, department chair, and regional campus search committee. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the department chair and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the department chair and the regional campus dean.

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

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

6 Courtesy Appointments for Faculty

Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical/teaching/professional practice, or research faculty member from another Ohio State tenure-initiating unit. A proposal that describes the uncompensated academic service to this department justifying the appointment is considered at a regular faculty meeting. If the

proposal is approved by the eligible faculty, the department chair extends an offer of appointment. The department 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

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

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

Depending on their appointment type, the annual performance and merit review of faculty members is based on expected performance in teaching, scholarship, and/or service as set forth in the department'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 department 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 department chair no later than the first day of spring semester classes:

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

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 on the Columbus Campus

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

If the department chair recommends renewal of the appointment, this recommendation is final. The department 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 department 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 provided).

If the department 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 exceptions that external evaluations are optional and the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are solicited only when either the department 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 department 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 department 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 department 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 on the Columbus Campus

Associate professors are reviewed annually by the department chair. The department chair

conducts an independent assessment; meets with the faculty member to discuss his/her/their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

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

D Clinical Faculty on the Columbus Campus

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

In the penultimate contract year of a clinical faculty member's appointment, the department 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.

There is no presumption of renewal of appointment.

E Associated Faculty on the Columbus Campus

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

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

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

F Regional Campus Faculty

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

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

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

G Salary Recommendations

The department 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 department chair consults with the department Executive Committee. As a general approach to formulating salary recommendations, the department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues. The department chair should proactively engage in equity audits of faculty salary to ensure faculty salaries are commensurate both within the department and across the field or fields represented in the department. Salary increases should be based upon these considerations.

Faculty members who wish to discuss dissatisfaction with their salary increase with the department 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 and Promotion Reviews

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

In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper

work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

A Criteria and Documentation that Support

Promotion 1 Promotion to Associate Professor

with Tenure

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

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

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

The award of tenure is an acknowledgement of excellence and future potential for preeminence. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the department's academic mission at a high level for the duration of their time at the university.

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](#).

The accomplishments listed below, in the areas of scholarship, teaching, and service, are expected of faculty for promotion to associate professor with tenure. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

Teaching

Teaching is defined to include the pursuit of quality teaching methods and content in the courses offered by the department and in other instructional contexts (e.g., individual studies;

research apprenticeships as well as advisement of undergraduate, masters, and doctoral students by faculty of the department. Teaching involves not only sharing knowledge but also transforming, extending, and generating it. In the Department of Teaching and Learning, we recognize that knowledge may not only be shared but also generated and acquired through teaching. Teaching should have impact on and relevance to those involved in the activity of teaching.

For promotion and tenure, a faculty member is expected to have high quality teaching. This may be evidenced by the faculty member having:

- Provided up-to-date content, at appropriate levels, in every instructional situation
- Demonstrated continuing growth in subject matter knowledge
- Demonstrated competence in the use of various modes of instruction (e.g. lecture, discussion, lab; in-person, distance learning, and hybrid)
- Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm
- Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process
- Provided appropriate and timely feedback to students throughout the instructional process
- Treated students with respect and courtesy
- Improved curriculum through course revision, development of new courses, and/or academic programs
- Served as advisor or co-advisor to an appropriate number of graduate students given the department's graduate student to faculty ratio and the faculty member's area of expertise. Graduate advising is not an expectation for regional campus faculty.
- Served as a mentor to undergraduate and/or graduate students, when appropriate.
- Advisement and mentoring of undergraduate and graduate students and organizations presentations to students at all education levels (outside of students in candidate's classes). Advisement may include conducting independent studies with students, overseeing research apprenticeships, mentoring graduate students who are not advisees, assisting students with publications and other forms of co-authoring where appropriate
- Documented efforts to improve teaching.
- Supervision of students in practica and in supervised teaching and collaborative venues such as co-teaching in school settings.
- Engaged in the scholarship of teaching. This can be defined as inquiry into teaching or learning that advances classroom practice in higher education by making research findings public. Scholarship in this area can be used as evidence for excellence in either teaching or research, but not both.
- Involvement in undergraduate/graduate/professional exams, projects/theses/dissertations.
- Consultation and/or collaborative activities with in-service teachers, including service on curriculum committees and guest-teaching in the school classroom.
- The generating of external funding and/or other resources to support teaching.
- The development of new teaching strategies and methods through the faculty member's direct involvement in K-12 classrooms as a teacher rather than a researcher.
- The development of teacher preparation or professional development programs with documented success.

Convincing evidence of high-quality teaching should entail peer evaluations of teaching (including review of instructional materials) and student evaluations (e.g., SEI, SEI written comments).

Scholarship

We embrace broad views of scholarship and recognize that over the course of a career a faculty member may, and likely will, be engaged in more than one type of scholarship. The department expects all candidates for promotion and tenure to have demonstrated excellence in scholarship by producing a body of creative and/or scholarly work that is of high quality, original, and presented in peer-reviewed venues. The scholarly work should be thematically focused and contribute substantively to knowledge in the area of focus and is beginning to be cited or otherwise show evidence of influence on the work of others.

In recognition of the diversity of scholarship in the department, the nature, function and outlets of scholarship will be broadened to more fully encompass the mission and core values of the department and College and to more genuinely reflect the integration of scholarship, teaching, and service.

For purposes of promotion and tenure review, the following attributes of the body of work are considered:

- Quality, impact, quantity
- Original or unique contribution to a line of inquiry or creative practice
- Evidence of quality of the candidate's scholarship, based on discipline specific indicators (e.g., journal impact factors, h index, citation rate, publication reputation). The candidate may share other indicators that indicate the quality of their work (e.g., being asked to author a chapter because of their expertise)
- Peer-review journal publications, books, textbooks, chapters, monographs, exhibitions of the original works, are weighted more heavily than conference proceedings, public lectures, technical reports;
- Published research more than unpublished research
- Authored works more than edited works
- Refereed publications more than non-refereed publications.
- Although collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual and creative contributions to collaborative work must be clearly and fairly described to permit accurate assessment of individual contribution.
- Empirical (i.e., data-based), theoretical, methodological, and/or conceptual work should demonstrate the ability to conduct such work and to mentor future scholars.
- A clear scholarly identity in the research program over time should be evident.

Candidates are also strongly encouraged to demonstrate attempts to obtain funding for creative activities and/or research.

- Competitive peer reviewed funding is weighted more favorably than other types, since it serves as a quality indicator of research programs
- Grants requiring the exercise of intellectual creativity are weighted more heavily

than those that largely dictate the work to be done.

- Grant activities that result in publication are especially encouraged

Candidates are expected to demonstrate the following:

- A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to exhibit and/or present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in publications
- A high degree of ethics in the conduct of research, including but not limited to the ethical treatment of graduate students, postdoctoral fellows, and collaborators should be adhered.
- Articulation of how the candidate's scholarship demonstrates its relevance and alignment with the discipline, impact on the field, and potential for continued productivity.

The candidate should provide a self-assessment of the quality and impact of her or his scholarship in the relevant narrative section of the dossier for review by the eligible faculty.

Service

Faculty members are expected by the university and the public-at-large to make their professional knowledge and skills available to the local community, state, nation, and world. In addition, as professionals committed to governance by peers, there are many internal activities that must be performed to maintain the operations of the institution. Thus, engagement in service on campus, to the community, as well as to academic and professional organizations is an important component of the faculty member's obligation.

Expectations for engagement with service to the institution and the profession both change and increase as a faculty member's career advances. Expectations for service on and off campus are to engage in a balanced range of activities and in doing so to have begun to establish an on-campus presence, and a local, state, regional, national or international presence.

For promotion to associate professor with tenure, a faculty member is expected to present evidence that she or he has:

- Made initial contributions to the governance of the department in a manner that facilitates positive contributions by others; and
- Demonstrated the potential for useful contributions to the profession (e.g., leadership roles, service on professional committees, editorial boards of journals).

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.

A candidate for professor is expected to demonstrate evidence of sustained excellence in research. It should be demonstrated that his or her scholarship has made a significant, high quality and coherent contribution, nationally or internationally, to social and/or educational problems and/or issues. It is generally expected that senior faculty have effectively mentored doctoral students through the dissertation phase; have effectively served in the department, college and university level service and/or leadership roles, and taken steps to continually improve as a teacher.

Thus, a professor's presence and leadership should be fully established on-campus and off-campus. While balance in engagement and some national presence is important, a candidate may place his/her emphasis (local, state-wide, regional, national, or international) according to his/her interests. A faculty member whose work is primarily local, however, should be able to show that the results and impact of local work has been disseminated in ways that impact the field nationally or even internationally.

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

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

3 Clinical Faculty

Promotion to Assistant Clinical Professor. For promotion to assistant clinical professor, a faculty member must complete his/her/their doctoral degree and meet the required licensure/certification in his/her/their specialty and be performing satisfactorily in teaching, professional practice, and service.

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

Scholarship activity is not expected; however, faculty can document evidence of scholarship as it pertains to scholarship of teaching and this can be used as evidence for teaching

Promotion to Clinical Professor. For promotion to clinical professor, a faculty member must have a record of continuing professional growth and increasing quality of contributions,

including a sustained record of excellence in teaching and professional practice; leadership in service to this department and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice. Scholarship activity is not expected; however, faculty can document evidence of scholarship as it pertains to scholarship of teaching and be used as evidence for teaching.

4 Associated Faculty

Promotion to Adjunct Associate Professor and Adjunct Professor. The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track or clinical faculty, as appropriate to the appointment, above.

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

Promotion to Senior Lecturer. Lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank as described in Section IV.A.3.

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

5 Regional Campus Faculty

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

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

B Procedures

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

1 Tenure-Track and Clinical Faculty on the Columbus Campus

a Candidate Responsibilities

Candidates for promotion and tenure or promotion are responsible for submitting a complete, accurate dossier and providing a copy of the APT document under which they

wish to be reviewed. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to department guidelines.

Each of these elements is described in detail below.

- **Dossier**

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

While 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/her/them.

The time period for teaching documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is more recent, to present. The eligible faculty may allow a tenured or nonprobationary candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated. Teaching documentation may include summaries of your teaching evaluations, summary of student comments, teaching awards, work with the Drake Institute, and course redesigns, to name a few.

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

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is more recent, to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated. Service documentation may include a summary of service at the department, college and university level as well as external service engagement.

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

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

Candidates must also indicate the APT under which they wish to be reviewed. Candidates

may elect to be reviewed under (a) the department's current APT document; (b) the APT document that was in effect on their start date, or (c) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year.

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

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

As noted above, if external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to department guidelines. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified.

b Promotion and Tenure Committee Responsibilities

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured faculty member may be denied a formal promotion review under Faculty Rule [3335-6-04](#) for only 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.
 - A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department 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, to provide administrative support for the promotion and tenure review process as described below.

- **Early Spring: At the first meeting of the P&T committee**, 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.
- **Mid-Spring:** The P & T committee generates a list of 8-10 potential external reviewers and obtains a list from the candidate. The P & T chair submits those names to the Department Chair. The Department Chair may add an additional 3-5 potential external reviewers. The Department chair sends names to the Candidate. The candidate can request the removal of up to two names.
- **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
- Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his/her/their dossier. This meeting is not an occasion to debate the candidate's record.
- Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
- 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 department 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 department chair in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.

c Eligible Faculty Committee Responsibilities

The responsibilities of the members of the Eligible Faculty 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.

d Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. (The department must ensure that such questions are asked of all candidates in a non-discriminatory manner.)
- **Late Spring/Early Summer Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the department chair, and the candidate. (Also see External Evaluations below.)
- To solicit an evaluation from a TIU head of any TIU in which the candidate has a joint appointment.
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. At the request of the eligible faculty, the department chair will leave the meeting to allow open discussion among the eligible faculty members.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
 - of the recommendations by the eligible faculty and department chair;
 - of the availability for review of the written evaluations by the eligible faculty and department chair; and
 - of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he/she/they will submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline.

- To receive the 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 department chair's independent written evaluation and recommendation, to the head of the other tenure-initiating unit by the date requested.

2 Procedures for Associated Faculty on the Columbus Campus

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

3 Procedures for Regional Campus Faculty

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

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

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

4 External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical or associated faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical or associated faculty member will be made by the department 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 department 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 perspective taken by an evaluator on the merits of the case.

Since the department 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 department 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 department requires that the dossier contain letters from evaluators suggested by the candidate.

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

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department 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 the department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

VII Appeals

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

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

VIII Seventh-Year Reviews

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

IX Procedures for Student and Peer Evaluation of

Teaching A Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (eSEI) is required in every course offered in this department. Faculty members should choose a day late in the semester when attendance is likely to be high if students will be asked 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 department chair oversees the department's peer evaluation of teaching process.

Annually the department chair appoints a Peer Review of Teaching Committee of a size judged sufficient to meet the volume of peer review activity expected that year, without overburdening any of the members. The term of service is one year, with reappointment possible. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the department. 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.

The responsibilities of the Peer Review of Teaching Committee are as follows:

- to review the teaching of probationary tenure-track, clinical, and associated faculty at least once per year with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.
- to review the teaching of tenured associate professors and nonprobationary associate clinical professors at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six year period and of having at least four peer reviews of teaching before the commencement of a promotion review.
- to review the teaching of tenured professors and nonprobationary clinical 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.
- to review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- to review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the

faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [Michael V. Drake Institute for Teaching and Learning](#).

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

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.

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