



THE OHIO STATE UNIVERSITY

COLLEGE OF FOOD, AGRICULTURAL,
AND ENVIRONMENTAL SCIENCES

Department of
Agricultural Communication,
Education, and Leadership

**Appointments, Promotion and Tenure
(APT) Criteria and Procedures**

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Appointments, Promotion and Tenure (APT) Criteria and Procedures

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I. PREAMBLE

This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#); the Office of Academic Affairs procedural guidelines for promotion and tenure reviews; and any additional policies established by the College of Food, Agricultural, and Environmental Sciences and the University. Should those rules and policies change, the Department shall follow the new College and/or University rules and policies until such time that this document is modified to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years upon appointment or re-appointment of the Department Chair.

This document must be approved by the Dean of the College and the Office of Academic Affairs before it can be implemented. It sets forth the Department's mission and, in the context of the missions of the College and University, criteria and procedures for faculty appointments, and criteria and procedures for faculty promotion, tenure, and faculty rewards (including salary increases). In approving this document, the Dean and the Office of Academic Affairs accept the stated mission and criteria and delegate to the Department the responsibility to apply high standards in evaluating faculty performance and candidates for initial appointment or promotion in relation to its mission and criteria.

The Department is bound by the principles articulated in Faculty Rule [3335-6-01](#) pertaining to appointment, promotion, and tenure. 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 affirmative action and equal employment opportunity](#).

II. DEPARTMENT MISSION

The mission of ACEL is to sustain life through the preparation of agricultural communicators, educators, and leaders who engage in systematic solutions for positive change in their communities.

DEPARTMENT VISION

Our community of scholars is recognized worldwide for excellence in the integration of learning, discovery and practice in education, outreach and engagement, communication, and leadership.

Our students and graduates are leaders in the food, agricultural, and environmental sciences, known for developing and adapting new information to address issues and solve problems facing a changing world.

DEPARTMENT VALUES

As a community of scholars, ACEL values:

- Fostering a student-first focus
- Being a caring and collaborative community
- Pursuing our desire to continually do better (growth)
- Integrity in all we do
- Scholarship excellence in all forms

Our values express themselves in our actions when we foster an inclusive, people-first philosophy that emphasizes our pursuit of significance, excellence, authenticity, and servant leadership.

Audiences

The Department's primary audience is our students: those who enroll in our courses, who avail themselves to departmental Extension education programs, and those who utilize our education and research. Academic professionals within our Department, associated professionals, and faculty in other colleges and departments constitute a second clientele group. A third clientele group consists of business, community, educational, and political leaders concerned about food, agricultural, or environmental issues impacting the economic and social welfare of individuals and communities.

Faculty Effort

Excellence in teaching, research, and service roles guide faculty efforts in the Department, with higher but equal, emphasis on teaching and research, relative to service. High quality instruction for undergraduate, graduate, and outreach audiences begins with an understanding of the basic principles of communication, education, and leadership, and even more fundamentally, psychology and sociology. The process continues with an improving ability to apply and integrate these principles in real-world, problem-solving situations within food, agricultural, and environmental spaces. Creation

and dissemination of new knowledge is vital to the improvement of our teaching, of community decision-making to act, and the advancement of the problem-solving ability of our students as well as public and private decision-makers.

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.

A1. Tenure-track Faculty

Initial Appointment Reviews

- This department bases appointment decisions on the recommendations of a search committee.
- For an appointment (hiring or appointment change from another faculty type) review at senior rank (associate professor or professor), a vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested.

Reappointment, Promotion, or Promotion and Tenure Reviews

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

A2. Professional Practice Faculty

Initial Appointment Reviews

- This department bases appointment decisions on the recommendations of a search committee.
- For an appointment (hiring or appointment change from another faculty type) review at senior rank (professional practice associate professor or professor), 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 professional practice faculty of equal or higher rank than the position requested.

Reappointment, Contract Renewal, and Promotion Reviews

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

A3. Associated Faculty

Initial Appointment, Reappointment, and Contract Renewal

- Initial appointment (hiring or appointment change from another faculty type), reappointment, and contract renewal of compensated associated faculty members are decided by the department chair in consultation with appropriate faculty. No-salary adjunct and visiting faculty appointments and reappointments must be reviewed and approved by a majority vote of the eligible faculty (all tenure-track and professional practice faculty) on an annual basis.

Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary professional practice 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 promotion and tenure committee.

A4. 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 25% of the candidate's published work since the last promotion will be expected to withdraw from a promotion review of that candidate. For more specific guidance, please refer to the [CFAES APT](#) section III.A.4.

A5. 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 department within the College.

B. Promotion and Tenure Coordinating Committee

The Department has a Promotion and Tenure Coordinating Committee that assists the eligible faculty in managing the personnel and promotion and tenure issues. The Department Chair will appoint three faculty members at the rank of Professor for two-year (renewable) terms on this committee. In the event that ACEL does not have three faculty members at the rank of Professor, the chair will appoint associate professors as needed. In the event that an Associate Professor is serving on the committee at a time when a dossier of a faculty member seeking the rank of Professor is to be considered, the Associate Professor would be asked to recuse themselves and a Professor from another CFAES Department would be asked by the ACEL Department Chair to serve in consideration of the dossier for promotion to Professor. The committee chair will also be appointed by the ACEL Department Chair. When a candidate for promotion and/or tenure is a member of the Professional Practice faculty, one eligible non-probationary Professional Practice faculty member may be added to the committee.

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 Committee of 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.

D1. Appointment

- This department bases appointment decisions on the recommendations of a search committee.
- In the case of a joint appointment, the department must seek input from a candidate’s joint-appointment TIU prior to the appointment.

D2. 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 a simple majority 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 the 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 its quality. 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.

A1. 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 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 Committee of Eligible Faculty determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted except through an approved request to exclude time from the probationary period.

Associate Professor and Professor. Appointment 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.

A2. Professional Practice 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 professional practice faculty members must be for a period of five years. The initial contract is probationary, with reappointment considered annually. Second and subsequent contracts for professional practice assistant and associate professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for professional practice professors must be for a period of at least three years and no more than eight years. Tenure is not granted to professional practice faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance.

Professional practice faculty shall be engaged in teaching and outreach related to the mission and goals of the Department. Professional practice faculty appointments are made in accordance with [Faculty Rule 3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the department.

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

Professional Practice Assistant Professor. An earned doctorate (*or appropriate terminal degree*) and the required licensure/certification in the candidate's specialty (*if applicable*) are the minimum requirements for appointment at the rank of professional practice assistant professor. Evidence of ability to teach is highly desirable.

Professional Practice Associate Professor and Professional Practice Professor. Appointment at the rank of professional practice associate professor or professional practice professor requires that the individual have an earned doctorate (*or appropriate terminal degree*) and the required licensure/certification in 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.

A3. Associated Faculty

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

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments are 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 faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

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.

A4. Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule [3335-5-36](#). Full-time tenure track, professional practice, 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 outlining academic performance and citizenship. The faculty eligible to conduct promotion reviews within the requestor's appointment type (see Section III.A.1-3) will review the application and make a recommendation to the department chair, who 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.

A5. Courtesy appointments

Courtesy (no-salary) appointments in the Department are reserved for tenure-track faculty from other tenure initiating units at The Ohio State University. Faculty granted courtesy appointments are expected to participate in the Department's teaching, research, and/or service program(s). This appointment will be reviewed every three years and continued only if it is determined that the appointee has documented a contribution to the mission of the Department. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

B. Procedures

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

- recruitment of tenure-track, professional practice, 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

B1. Tenure-track faculty

Recommendations regarding tenure-track faculty appointments or requests for new tenure-track faculty positions are made jointly by the Chair and faculty. The Chair and faculty formulate the responsibilities of the position and the qualifications of candidates. The Chair requests the Dean to authorize that the position be filled. Approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise. Upon receiving permission from the College to search for a person to fill a tenure-track position, the Department Chair will appoint (in consultation with the faculty) a search committee consisting of three or more faculty for the position. Search procedures must entail substantial faculty involvement and be consistent with the [OAA Policy on Faculty Recruitment and Selection](#).

A national/international search is required for all tenure-track faculty positions unless the Office of Academic Affairs approves an exception requested by the College.

Prior to any search, members of all search committees must undergo inclusive hiring practices training available through the college with resources from the [Office of Diversity and Inclusion](#). Implicit bias training, such as that available through the [Kirwan Institute for the Study of Race and Ethnicity](#), is also required of all search committee members prior to any search.

The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the university Job Postings through the [Office of Human Resources](#) and external advertising, subject to the Department Chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications.

- Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this judgment, virtual or on-campus interviews are arranged by the search committee chair, assisted by the Department office. If the faculty does not agree, the Department Chair in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

During the virtual or on-campus interviews, candidates shall meet with the faculty, undergraduate and graduate students, the Department Chair, and the Dean of the College of Food, Agricultural, and Environmental Sciences, and their Cabinet as outlined in the CFAES Faculty Hiring Checklist. Teaching and research presentations will be scheduled according to the position expectations. All candidates interviewing for a particular position must follow the same interview format, and relevant accommodations for disability/impairment should be provided.

Following each individual candidate's interview, the search committee will solicit feedback on the perceived strengths and limitations of the candidate from faculty, staff, students, and other interested stakeholders. After all candidates have completed the interview process, the search committee will collect an electronic ballot post-interview regarding the acceptability of each candidate from the eligible faculty in ACEL. Thereafter, the search committee will forward a recommendation for each candidate interviewed to the ACEL Department Chair. If the offer involves senior rank, the eligible faculty members will vote on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members also vote on the appropriateness of such credit. The recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit will be contained in the recommendation to the Chair, who will in turn make a recommendation to the Dean. The Department Chair will extend a letter of formal offer to the selected candidate when authorized by the Dean.

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. 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.

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. The university will not grant tenure unless an individual is

(1) a U.S. citizen or national; (2) permanent resident (“green card” holder); (3) asylee or refugee; or (4) an individual otherwise described as a “protected individual” pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b). The department will therefore be cautious in making such appointments and vigilant in seeking residency status for the appointee promptly and diligently.

B2. Professional Practice faculty

Non-tenure-track faculty appointments that involve financial compensation require prior College approval. The Department may not extend an offer before receiving that approval.

Searches for professional practice 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 professional practice rather than scholarship, and exceptions to a national search only require approval by the College Dean.

B3. Transfer from the Tenure Track

Tenure-track faculty may transfer to a professional practice 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 professional practice appointment to the tenure track are not permitted. Professional practice faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

B4. Associated faculty

The appointment, review, and reappointment of all compensated associated faculty are decided by the Department Chair in consultation with appropriate faculty.

No-salary Adjunct and Visiting Faculty appointments and reappointments must be reviewed and approved by a majority vote of the eligible faculty on an annual basis.

Lecturer and senior lecturer appointments are usually made on a semester by semester or annual basis. 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.

B5. Courtesy Appointments for Faculty

Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track or professional practice 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 REVIEWS

The Department follows the requirements for annual reviews as set forth in the [Policy on Faculty Annual Review and Reappointment](#), which stipulates that such reviews must include a scheduled opportunity for a face-to-face (virtual or in-person) 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 reviews of faculty members are based on expected performance in teaching, scholarship, and 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 and ACEL administrative office manager no later than the date set in the early Spring semester as determined annually by the department chair.

- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 with the exception of the narrative sections (*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*)
- Supplemental materials as determined by the department chair

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

The Department is bound by Faculty Rule [3335-6-03 \(C\)](#). As noted below, probationary faculty will be reviewed annually, as per Departmental, College, and University policy, unless an approved faculty leave has been granted which renders the review impractical.

During the probationary period, tenure-track faculty performance (including teaching, research, and service) will be reviewed annually during the Spring Semester by the ACEL Promotion and Tenure Coordinating Committee. External evaluation letters are not required for the annual performance review of probationary tenure-track faculty. Members of the ACEL Promotion and Tenure Coordinating Committee will be provided with a copy of the probationary faculty member's position description, curriculum vitae, and Office of Academic Affairs (OAA) dossier completed by the faculty member in

reporting accomplishments to date. The ACEL Promotion and Tenure Coordinating Committee will summarize its assessment of the faculty member's performance in a letter to the ACEL Department Chair and the faculty member, indicating strengths and weaknesses, as appropriate.

The ACEL Department Chair will annually review the Promotion and Tenure Coordinating Committee's assessment and will perform an independent assessment of the performance of the probationary tenure-track faculty members based on their position description, curriculum vitae, and OAA dossier. The Department Chair will then meet with each faculty member to discuss the faculty member's performance, future goals, and plans. At the completion of the review, the ACEL Department Chair shall provide the faculty member with a written assessment of the faculty member's performance and professional development, including both strengths and weaknesses, as appropriate. The letter will also include a recommendation on whether to renew the probationary appointment.

The annual performance review letter will include a reminder that the faculty member may review her/his departmental personnel file and, per Faculty Rule [3335-3-35 \(C\) \(8\)](#) may place in that file a response to any evaluation, comment, or other material contained in the file. Faculty are not allowed to remove any materials from their departmental personnel file.

The Department Chair's letter (along with the faculty member's comments, if received) is forwarded to the Dean. If the Chair's recommendation is to reappoint the faculty member to another year of probationary service, that recommendation shall be final. A recommendation from the Chair to not reappoint the faculty member to another year of probationary service requires a review that follows the fourth-year review procedures described below per Faculty Rule [3335-6-03](#). Following completion of the comments process, the complete dossier is forwarded to the college for review and the Dean shall make the final decision regarding reappointment to another year of probationary service. All annual review letters (along with the faculty member's comments, if provided) shall become part of each faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure.

B1. Fourth-Year Review

The fourth-year review shall employ the same procedures as those for tenure and promotion review in the Department, except that external letters will not be required. Such letters will be 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. The Dean makes the final decision on reappointment for the fifth year.

B2. Exclusion of time from probationary period

The Department is bound by Faculty Rule [3335-6-03 \(D\)](#) that provides for time to be excluded (i.e., stopping the tenure clock) from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs [Policies and Procedures Handbook](#).

C. Tenured faculty

Associate professors are reviewed annually by the department chair, who conducts an independent assessment; meets with the faculty member to discuss 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 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.

The annual performance review letter will include a reminder that the faculty member may review her/his departmental personnel file and, as per Faculty Rules [3335-3-35\(C\)\(8\)](#) may place in that file a response to any evaluation, comment, or other material contained in the file. Faculty are not allowed to remove any materials from their departmental personnel file.

D. Professional practice faculty

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

In the penultimate contract year of a professional practice faculty member's appointment, the 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.

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 proceeds identically to the fourth-year review procedures for tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

E. Associated faculty

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 their performance, future plans, and goals. The Department Chair's recommendation on renewal of the

appointment is final. If the recommendation 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. The Department Chair, or designee, prepares a written evaluation and meets with the faculty member to discuss their performance, future plans, and goals. No later than October 15 of the final year of the appointment, the Chair will decide whether or not to reappoint. The Department Chair's recommendation on reappointment is final.

F. Salary Recommendations

Except when the College or University mandates an "across the board" or "minimum" flat or percentage salary increase, salary adjustments will be based entirely on merit and will assure, to the extent possible, given financial constraints, that salaries reflect the market and are internally equitable.

The Department Chair recommends annual salary increases and other performance rewards to the Dean, who may modify these recommendations. 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.

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. 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

Recommendations for promotion in rank and/or the awarding of tenure will be based on the performance of the individual faculty member. Individuals will be judged on the basis of their position description and agreed upon expectations in the areas of teaching/advising (including formal and non-formal instruction, and student advisement), research, and service to the Department, College, University, and the profession. The relative emphasis to be placed on a faculty member's performance and accomplishments will be in accordance with the teaching, research, and service responsibilities agreed to with each faculty member during the annual performance review conference with the Department Chair.

Faculty Rule [3335-6-02](#) provides additional 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

A1. Promotion to rank of Associate Professor with tenure

Tenure and promotion are based on faculty performance in teaching (including outreach), research, and service. The awarding of tenure and promotion to the rank of Associate Professor must be based on documented evidence that the faculty member has achieved and can be expected to continue a professional program of excellence. Excellence in teaching is documented by effective performance in teaching, advising, and/or outreach education; in research by high quality and quantity of research; and in service by work done or duties performed for others, relevant to the mission of the Department, College, and University.

The Department is bound by Faculty Rule [3335-6-02](#) in the awarding of tenure and promotion to the rank of Associate Professor. That rule 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. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the Department's ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. 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 are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the [American Association of University Professors' Statement on Professional Ethics](#).

The accomplishments listed below in the areas of teaching, scholarship, 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

For promotion to associate professor with tenure, a faculty member is expected to have:

- provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge
- demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm
- demonstrated creativity in the use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment
- 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 revision or new development of courses and/or academic programs
- served as advisor to an appropriate number of graduate students given the Department's graduate student/faculty ratio and the faculty member's area(s) of expertise
- engaged in documentable efforts to improve teaching

In addition to the above, extension teachers promoted to associate professor with tenure are expected to document the following:

- an understanding of the needs for knowledge by outreach students/clients/users;
- effective communications with outreach students; and
- the ability to respond to 'teachable moments' with appropriate educational activities.

In addition to the above, the following dimensions of teaching performance are expected of extension teachers:

- an understanding of the needs for knowledge by outreach students/clients/users;
- the ability to communicate effectively with outreach students; and
- the ability to anticipate the "teachable moment" regarding the needs of outreach students and to respond with appropriate educational activities.

In addition, performance in extension teaching required for promotion to associate professor with tenure must document excellence in:

- the development and delivery of outreach education programs; the development of teaching materials; and
- extension publications and juried presentations.

Scholarship

For promotion to associate professor with tenure, a faculty member is expected to have:

- Published a body of work in high-quality peer-reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:
 - quality, impact, quantity
 - unique contribution to a line of inquiry or repackaging of earlier work
 - rigor of the peer-review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published scholarship more than unpublished scholarship, and original works more than edited works.
 - empirical work, demonstrating the candidate's ability to conduct such work and to mentor future scholars, is preferred to synthetic work at this stage of career
 - collaborative work, including interdisciplinary and team-based research is valued, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
- A demonstrated ability to obtain and potential to sustain research program funding. Competitive peer-reviewed funding is weighted more favorably than other types, since it serves as a quality indicator of research programs, and grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done. Research funding is a means to an end; funding that has not led to research productivity is disregarded in the review.
- A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized

prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.

- Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

Service

For promotion to associate professor with tenure, a faculty member is expected to have:

- made substantive contributions to the governance of the department in a manner that facilitates positive contributions by others
- demonstrated the potential for useful contributions to the profession

A2. Promotion to Rank of Professor

Promotion to the rank of Professor will be based on convincing evidence that the faculty member has achieved and can be expected to maintain a sustained record of excellence. The Department is bound by Faculty Rule [3335-6-02 \(C\)](#) regarding promotion to the rank of Professor. That rule establishes the following general criteria for promotion to the rank of professor:

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

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, relevant university and professional service, appropriate levels of leadership fitting for a senior leader in the field, and evidence of established national or international reputation in the field.

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 leadership to make visible and demonstrable impact upon the mission of the department, college, and university.

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

A3. Promotion to Rank of Professional Practice Associate Professor.

For promotion to Professional Practice Associate Professor, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of this Department. Specific criteria in teaching and service for promotion to associate professor of professional practice are similar to those for promotion to Associate Professor with tenure. Research activity is not expected.

A4. Promotion to Rank of Professional Practice Professor.

For promotion to Professional Practice Professor, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to this department and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice. Research activity is not expected.

A5. 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 faculty 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.4.

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

B. Procedures

The Departmental procedure for promotion and tenure review is consistent with Faculty Rule [3335-6-04](#) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#).

The Committee of Eligible Faculty consists of those defined in Section III.A of this document who can engage in the promotion process.

The identification of faculty members eligible to be considered for promotion is a joint responsibility of the ACEL Promotion and Tenure Coordinating Committee and the faculty member. The Chair may request that a faculty member submit their credentials, individual faculty members may request that they be considered for promotion, or any faculty member may nominate a candidate for promotion to the ACEL Promotion and Tenure Coordinating Committee. For Assistant Professors, consideration for promotion and tenure is mandatory in the sixth year. Tenure for Assistant Professors will only be considered in conjunction with promotion to Associate Professor.

Only the candidate may stop the promotion and tenure review process, once external letters of evaluation have been requested. The candidate may withdraw from review at any stage of the process by so informing the Department Chair in writing. If the review process has moved beyond the Department, the Chair shall inform the Dean of the candidate's withdrawal.

B1. Tenure-Track and Professional Practice Faculty

B1a. 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 departmental 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 Coordinating Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by him or her.

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

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

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary

faculty it is the date of last promotion to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated.

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.

Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.

Teaching

Teaching includes classroom and laboratory instruction, extension and outreach teaching, supervision of independent study, thesis, non-thesis, and dissertation research, honors projects, clinical experience, and supervision of internships, early field experiences, student teachers, beginning teachers and Extension personnel, experienced teachers and Extension personnel, and student advising.

Characteristics of quality teaching include, but are not limited to the following:

- Knowledge and command of subject matter.
- Systematic planning of instruction; formulation of objectives indicating outcomes sought; and organization of content documented in a detailed course syllabus.
- Selection and use of appropriate teaching-learning strategies and instructional media, including the incorporation of new technologies.
- Involvement of students in critical thinking learning activities; stimulation of students for individual study and creative work.
- Selection and use of evaluation procedures that provide timely and appropriate feedback to enable students to identify weaknesses and strengths; provisions for individualized instruction and other procedures that allows students to achieve.
- Involvement and effectiveness in guiding, mentoring, and counseling students.
- Continual updating of course notes, syllabi, instructional materials; innovation in teaching strategies.
- Contributions to curriculum development, including collaborative courses and programs.

- Continuing professional development of the faculty member related to teaching and advising.
- Teaching and advising load that is appropriate to the faculty member's position description.
- Involvement in interdisciplinary teaching activities.
- Availability to students beyond regular class meeting times.

Evidence to document teaching and advising quality and effectiveness:

- cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class
- summary data and comments from the Extension Evaluation of Effective Teaching (EEET), which is used to assess teaching performance in seminars, workshops, and other non-formal instructional settings
- peer evaluation of teaching reports as required by the Department's peer evaluation of teaching program (details, including number, provided in Section X below)
- copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- teaching activities as listed in the core dossier including
 - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
 - mentoring postdoctoral scholars and researchers
 - extension and continuing education instruction
 - involvement in curriculum development
 - awards and formal recognition of teaching
 - presentations on pedagogy and teaching at national and international conferences
 - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate, including recognition and awards for teaching and advising

Scholarship

Research and scholarship activities include discovering new knowledge, developing new technologies, methods, and materials, integrating information leading to new understandings, creating new insights and interpretations, advancing theory in a programmatic manner, providing practical and innovative solutions to important

problems, and/or improving practices in the discipline. Research activities must be validated by peers and communicated to the profession.

Characteristics of quality research

- Addresses an issue of significant concern, is worthy of sustained effort, and relates to the mission of the Department.
- Draws upon the faculty member's disciplinary or professional expertise and displays significant intellectual contributions.
- Subjected to rigorous review by peers.
- Builds upon a research base and theoretical foundation.
- Represents potentially new interpretations and applications of information for use in specific settings.
- Outlines a clear and realistic strategy to achieve the desired outcomes.
- Generates new research questions or makes more understandable the current body of knowledge.
- Provides evidence of an integrated body of work.
- Involves the dissemination of results to appropriate audiences.
- Has implications for policy or practices at various levels.

Evidence to document the quality and significance of research activities (peer review is a universal expectation)

- books, journal articles, research papers, presentations, monographs, edited books, chapters in edited books, technical bulletins or reports, reviews and abstracts, refereed papers at professional meetings, editor reviewed journal articles, magazine articles, newsletters, field manuals, handbooks, instructional guides, multi-media programs, videos, websites, and computer software. Author contributions (in percentage terms) should be designated for each publication. □ acceptance rates and disciplinary rankings of peer or editor reviewed journals.
- involvement in funded research and/or training grants, including the number of grants funded and/or submitted, source of funds, and nature of intellectual contribution.
- evidence of seeking and successful attainment of external funding for support of departmental programs.
- success in directing thesis and dissertation research and non-thesis and honors projects.
- recognition and awards for research and other scholarly work.
- continuing professional development of the faculty member related to research.
- maintenance of a focused research program appropriate for the faculty member's position description.

- scholarship conducted from a critical perspective.
- other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted)
- scholarship activities as listed in the core dossier including
 - documentation of creative works pertinent to the candidate's professional focus including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites
 - documentation of inventions, patents, disclosures, options and commercial licenses
 - list of prizes and awards for research, scholarly, or creative work

Service

Service is broadly defined to include administrative service to the Department, College, and University, professional service to the faculty member's discipline, and the engagement of faculty with public and private entities beyond the University.

Characteristics of quality service

- Contributes to the local, state, national, and international intellectual communities and professional disciplines of the Department, College, and University.
- Contributes and relates to the missions of the Department, College, and University.
- Strengthens local communities and addresses issues relevant to Ohio citizens.

Evidence to document quality service

- recognition and awards for service activities.
- sustained involvement and leadership in service activities throughout one's academic career.
- service activities as listed in the core dossier including
 - involvement with professional journals and professional societies
 - consultation activity with industry, education, or government
 - administrative service to Department
 - administrative service to College
 - administrative service to University and Student Life
 - advising to student groups and organizations

- awards and prizes for service to profession, University, or Department
- any available documentation (e.g. letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier.

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

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

If a candidate wishes to be reviewed under an APT other than the current approved version available [here](#), a copy of the APT document under which the candidate has elected to be reviewed must be submitted when the dossier is submitted to the 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 by the Department Chair and the Promotion and Tenure Coordinating Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The Department Chair decides whether removal is justified.

Within ten calendar days following the written notification of the completion of the Departmental review process, as appropriate, a candidate may provide the Department Chair with written comments on the review for inclusion in the dossier.

B1b. Promotion and Tenure Coordinating Committee Responsibilities

The responsibilities of the Promotion and Tenure Coordinating 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.
 - The ACEL Promotion and Tenure Coordinating Committee may decline to put forth a faculty member for formal, non-mandatory promotion and tenure review if the candidate's accomplishments are judged insufficient to warrant such review. Under Faculty Rule [3335-6-04A\(3\)](#), the Promotion and Tenure Coordinating Committee may not deny a tenured faculty member a formal review for promotion for more than one year. Faculty Rule [3335-7-08](#) makes the same provision for non-probationary professional practice faculty. 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.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee.

The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.

- **Late Spring:** Suggest names of external evaluators to the Department Chair.
- **Late Spring:** 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.
- **Late Spring:** Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on their dossier. This meeting is not an occasion to debate the candidate's record.
- **Early Autumn:** 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. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
- **Early Autumn:** Revise the draft analysis of each case following the eligible faculty meeting, to include the faculty vote and a detailed analysis of each case (including perceived strengths and weaknesses in the areas of teaching, research, and service) based on the criteria listed in this document, expressed during the meeting; and forward the completed written evaluation and recommendation to the Department Chair. The report must state explicitly whether the candidate is recommended for promotion and tenure by the Departmental faculty. The letter will be signed by all members of the ACEL Promotion and Tenure Coordinating Committee.
- **Early Autumn:** Provide a written evaluation and recommendation to the Department Chair in the case of joint appointees whose tenure-initiating unit is another department. 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.
- **Mid-Autumn:** Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.

B1c. Eligible Faculty Responsibilities

The responsibilities of the members of the eligible faculty are as follows:

- In advance of the meeting at which the candidate's case will be discussed, all eligible faculty will be asked to evaluate—independently, thoroughly, and objectively—each candidate's qualifications and prepare comments for discussion with the Promotion and Tenure Coordinating Committee.
- 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. Following discussion, a secret ballot vote will be conducted by the Promotion and Tenure Coordinating Committee. Definitions regarding voting are found in Section III of this document.
- Faculty members with a familial or comparable relationship with a candidate will not participate in the review of that candidate. If, in the opinion of the Promotion and Tenure Coordinating Committee and with the Department Chair's concurrence, a potential conflict of interest exists for a faculty reviewer, the Chair is empowered to remove that reviewer from the review of that candidate, should the reviewer not voluntarily withdraw.

B1d. Department Chair Responsibilities

The responsibilities of the Department Chair are as follows:

- To establish a timeline for submission of documentation to ensure that the review process will be completed prior to the date established by the University and College for submitting recommendations to the Dean.
- Annually to provide written notification to all faculty members of the dates that dossiers for promotion and tenure recommendations are to be submitted.
- 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:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Coordinating Committee, the 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 adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed for the purpose of listening to the strengths and weaknesses cited. However, the Department Chair is not allowed to provide input beyond responding to a direct question to provide clarification or to correct any misinformation or misinterpretation that may arise during the faculty discussion. The Department Chair is not allowed to vote during the review process. At the request of the eligible faculty, the Chair will leave the meeting to allow open discussion among the eligible faculty members.
- **Mid-Autumn:** Following receipt of the eligible faculty's completed evaluation and recommendation, to prepare an independent assessment and recommendation for inclusion in the candidate's dossier that takes into account the recommendation of the eligible faculty. The Department Chair will outline the criteria and expectations against which the faculty member was assessed and will verify the candidate's list of publications. All cases will be forwarded to the Dean.
- 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

- of the opportunity to submit written comments on the above material, within ten 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 they expect to submit comments.
- In collaboration with the eligible faculty, to provide a written response to any candidate comments that warrant response for inclusion in the dossier. Only one iteration of comment and response to the Departmental level review will be permitted.
- To forward the completed dossier, with all internal and external evaluations, candidate's comments on the Departmental review, and eligible faculty and/or Chair responses to those comments, if any, to the College office by that office's deadline.
- To communicate the final results of a completed review process to faculty members. When that decision is negative, the Chair shall also communicate the reasons for the negative decision.
- To receive the Promotion and Tenure Coordinating Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the Department Chair's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

Dean's and Executive Vice President and Provost's Responsibilities

- The Dean will inform the candidate in writing of the opportunity to comment on the recommendation reached at the College level. Except in the case of fourth year reviews (and other probationary reviews following fourth year review procedures) in which the Dean makes the final decision, the review then proceeds to the University level where the Executive Vice President and Provost makes a final decision.

B2. Procedures for Associated Faculty

Adjunct faculty and associated faculty with tenure-track titles for whom promotion is a possibility follow the promotion guidelines and procedures

detailed in Section VI.B above, with the exception that the review does not proceed to the College level if the Department Chair's recommendation is negative (a negative recommendation by the Department Chair is final in such cases), and does not proceed to the University level if the Dean's recommendation is negative.

B3. 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 professional practice or associated faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a professional practice or associated faculty member will be made by the Department Chair after consulting with the candidate and the chair of the Promotion and Tenure Coordinating 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 can give an “arms’ length” evaluation of the research record and 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 only solicit evaluations 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 Coordinating 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 professional practice 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

The Department is bound by Faculty Rule [3335-6-05 \(A\)](#), which sets forth general criteria for appeals of negative promotion and tenure decisions, and by Faculty Rule [3335-5-05\(A\)\(1\)](#) regarding appeals alleging improper evaluation.

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 REVIEW

The Department is bound by Faculty Rule [3335-6-05 \(B\)](#) that specifies conditions of and procedures for a seventh-year review for a faculty member denied tenure as a result of a sixth year review.

A petition to conduct a seventh-year review originates with the faculty of the Department who provide a recommendation to the Chair. The Chair provides an independent recommendation which, if positive, is forwarded to the Dean. If the Dean concurs, the petition is forwarded to the Executive Vice President and Provost who must approve the petition for that review to take place. If either the Chair or the Dean denies the petition, that is the end of the matter.

The petition must document substantial new information regarding the candidate's performance germane to the reasons for the original negative decision. The petition must be initiated before the beginning of the last year of employment.

A faculty member may not request a seventh-year review, appeal the denial of a seventh-year review petition initiated by the Department, or appeal a negative decision following a seventh-year review.

IX. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

Student Evaluation of Teaching

Departmental faculty are required to collect student evaluation information in each section of each course, each year, exclusive of independent study and research hours. The OSU Student Evaluation of Instruction (eSEI) form is a required evaluation tool; however, faculty are free to use additional forms at their discretion. Faculty members should choose a day late in the semester when attendance is likely to be high if they are going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching. Written comments can be solicited. These comments should be collected by a designated class member. This person will mail or hand-deliver the comments in a sealed envelope to the faculty member's administrative assistant for transcription after the course grades are posted. The Department Chair will receive copies of all individual SEI reports (including comments) that are sent to the faculty each semester. Summary SEI data for each course should be included in the faculty performance appraisal report each year.

Peer Evaluation of Teaching

Periodic peer review of teaching is required for both probationary and tenured faculty (at all ranks). The purpose of the peer review is to promote, encourage, and support faculty members to continuously improve their teaching. The peer review process should focus on those aspects of teaching that students cannot validly assess. Peer reviews should examine the appropriateness of curriculum choices, instructional goals, course syllabi, teaching methods, assessment strategies, and consistency with disciplinary standards.

The Department Chair oversees the Department's peer evaluation of teaching process.

A peer evaluation of teaching should be completed at least once each year for probationary tenure-track, professional practice, and associated faculty member, and at least once every four years for tenured and non-probationary professional practice faculty. Tenured faculty members and non-probationary professional practice faculty seeking promotion from Associate Professor to Professor should ensure the proper number of peer evaluations necessary for the promotion review and the opportunity to improve upon those peer evaluations prior to the promotion review. Peer review of teaching will be conducted using the following guidelines:

1. The peer review will focus on the promotion and tenure criteria for excellence in teaching as outlined above.
2. The peer review process should include an observation of classroom teaching performance and a review of course materials. In the case of an online course review, the reviewer should be given access to the learning management system and any online repositories of content (e.g. videos).
3. Peer reviewers will be selected by the Department Chair and Promotion and Tenure Coordinating Committee Chair after consulting with the faculty candidate.
4. Teaching performance will be peer reviewed for both credit courses and nonformal instructional settings.

Documentation of peer evaluation of teaching must be included in all dossiers for promotion and tenure or promotion.

Regularly scheduled peer teaching evaluations are comprehensive and should include, in addition to class visitation or learning management system, 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 Coordinating Committee Chair and/or Department Chair have 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. Also, if possible, the peer reviewer should speak to the class independent of the faculty member being reviewed, the day of the review, to collect direct student feedback (e.g. was today's lesson that I observed a typical lesson?)

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 he/she wishes. The reports are included in the candidate's promotion and tenure dossier.

Upon the Department Chair's request, the teaching of any faculty member not currently scheduled for review may be peer reviewed. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.

The teaching of a faculty member not currently scheduled for review may also be peer reviewed, 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 Chair or faculty member and may or may not include class visitations.