



**THE OHIO STATE UNIVERSITY**

COLLEGE OF ARTS AND SCIENCES

APPOINTMENTS, PROMOTION, AND TENURE  
CRITERIA AND PROCEDURES

for

THE OHIO STATE UNIVERSITY  
COLLEGE OF ARTS AND SCIENCES

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Office of the Dean  
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## **I. PREAMBLE**

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

Should those rules and policies change, the College of Arts and Sciences will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every five years on the appointment or reappointment of the Dean of the College of Arts and Sciences. Revisions to this document must be consistent with the purpose of the document and with appropriate university rules and policies.

Within the first year of appointment or reappointment, the Dean of the College of Arts and Sciences shall review the Appointments, Promotion, and Tenure document and, in consultation with the divisional deans and the Faculty Advisory Council, draft revisions as appropriate. At other times, the dean, any divisional dean, any college or divisional committee, or any member of the regular faculty may propose amendments. Revisions and amendments may be adopted after consultation with the divisional deans and the Faculty Advisory Council. The dean will then forward the revised Appointments, Promotion, and Tenure document to the Office of Academic Affairs.

The Office of Academic Affairs must approve this document before it is implemented. It sets forth the college's mission and, in the context of that mission and the mission of the university, the criteria and procedures for faculty appointments and for faculty promotion, tenure, and rewards, including salary increases. In approving this document, the Office of Academic Affairs accepts the mission and criteria of the college and delegates to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to college mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](#) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes, to exercise the standards established in Faculty Rule [3335-6-02](#) and other standards specific to this college and its units, 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. MISSION OF THE COLLEGE OF ARTS AND SCIENCES**

Our mission:

- To fuel world-changing research and creative work.
- To prepare passionate learners, critical thinkers, and global citizens.
- To engage, serve, and champion our diverse communities.

Our values:

- The college embraces and seeks to implement the university's shared values initiative. We are committed to academic freedom, to ensuring responsible research practices, to building diverse and inclusive cultures, to fostering an ethic of care and mutual respect, and to promoting justice.

Our ambition:

- The College of Arts and Sciences seeks to achieve national and international distinction for its departments, schools, and interdisciplinary research centers; to live into the university's land-grant mission and its motto of "education for citizenship"; to ensure the academic and personal success of all of our students; and to support the well-being and professional growth of our faculty and staff.

### III. DEFINITIONS

#### A. Committee of the Eligible Faculty within each TIU of the College

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

The TIU head, the dean and divisional, 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, or promotion and tenure.

##### 1. Tenure-track Faculty

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

- **Appointment Review.** For an appointment (hiring) review of an assistant professor, associate professor, or professor, the eligible faculty consists of all tenure-track faculty with their primary appointment in the TIU.
- **Rank Review.** A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested.

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

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

- For the promotion reviews of associate professors, the eligible faculty consists of all tenured professors.

## 2. Clinical/Teaching/Professional Practice Faculty

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

- **Appointment Review.** For an appointment (hiring or appointment change from another faculty type) review of an assistant clinical/teaching professor or professional practice assistant professor; an associate clinical/teaching professor or professional practice associate professor; or a clinical/teaching professor or professional practice professor, the eligible faculty consists of all tenure-track faculty and all clinical/teaching/professional practice faculty in the TIU.

Alternatively, the TIU may choose to base the initial appointment of an assistant clinical/teaching professor or professional practice assistant professor on search committee recommendations rather than the vote of the eligible faculty. In such cases, the recommendation to the TIU head is the responsibility of the search committee alone.

In all cases, the recommendation to the TIU head is the responsibility of the search committee, whether there is a faculty vote or not.

- **Rank Review.** 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 non-probationary clinical/teaching/professional practice faculty of equal or higher rank than the position requested.

### ***Reappointment and Promotion Reviews***

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

## 3. Research Faculty

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

- **Appointment Review.** For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, research associate professor, or research professor, the eligible faculty consists of all tenure-track faculty and all research faculty in the TIU.
- **Rank Review.** 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 non-probationary research faculty of equal or higher rank than the position requested.

#### ***Reappointment and Promotion Reviews***

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

#### 4. Associated Faculty

##### ***Initial Appointment and Reappointment***

For the initial appointment (hiring or appointment change from another faculty type) of compensated associated faculty members, the eligible faculty consists of all tenure-track faculty, all clinical/teaching/professional practice faculty, and all research faculty in the TIU.

Alternatively, the TIU may choose to base an initial appointment decision on a search committee recommendation rather than a vote of the eligible faculty. In such cases, the recommendation to the TIU head is the responsibility of the search committee alone.

In all cases, the recommendation to the TIU head is the responsibility of the search committee, whether there is a faculty vote or not.

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

The reappointment of associated faculty members is decided by the TIU head in consultation with the relevant faculty advisory body as specified in the TIU governance documents.

##### ***Promotion Reviews***

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

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

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

The promotion of a lecturer to senior lecturer is decided by the TIU head in consultation with the TIU's

relevant advisory body.

## 5. Conflict of Interest

**Search Committee Conflict of Interest.** A member of a search committee must disclose to the committee and refrain from participation in any interview, meeting, and vote that comprises the search process if the member:

- decides to apply for the position
- is related to or has a close interpersonal relationship with a candidate
- has substantive financial ties with a candidate
- is dependent in some way on a candidate's services
- has a close professional relationship with a candidate (e.g., dissertation advisor); or
- has collaborated extensively with a candidate or is currently collaborating with a candidate.

**Eligible Faculty Conflict of Interest.** A member of the eligible faculty has a conflict of interest when the member is or has been to a candidate:

- a thesis, dissertation, or postdoctoral advisee/advisor
- a co-author on more than 50% of the candidate's publications since appointment or last promotion, including pending publications and submissions
- a collaborator on more than 50% of projects since appointment or last promotion, including current and planned collaborations
- in a consulting/financial arrangement with the candidate since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services) or is dependent in some way on the candidate's services; or e) in a family relationship such as a spouse, child, sibling, or parent, or other relationship, such as a close personal friendship, that might affect the member's judgment or be seen as doing so by a reasonable person familiar with the relationship

Such faculty members will be expected to withdraw from an appointment or promotion review of that candidate.

## 6. Minimum Composition

In the event that a tenure initiating unit within the College of Arts and Sciences does not have at least three eligible faculty members who can undertake a review, the unit head, after consulting with the divisional dean, will appoint one or more faculty members from another unit within the college for the review so that the minimum number of three can be reached.

### B. Promotion and Tenure Committees

#### 1. College Promotion and Tenure Committee

The College of Arts and Sciences Promotion and Tenure Committee is composed of three review panels—one each for the divisions of Arts & Humanities, Natural and Mathematical Sciences, and Social and Behavioral Sciences.

The review panels are appointed by the three divisional deans after consultation with the heads of divisional



units. These panels are composed of between 6-10 tenured professors.

Appointees must be members of the graduate faculty and hold a 50% or more appointment in a TIU of the college. Except for the divisional dean, who will chair and be an ex-officio member of the relevant review panel, no administrative appointees are eligible to serve as committee members. No member of the panel may participate in reviews of faculty from the member's TIU.

These review panels, collectively referred to as the College's Promotion and Tenure Committee, evaluate promotion and tenure dossiers of ASC faculty and make recommendations to the dean on the suitability of faculty in ASC for tenure and/or promotion, reappointment, or renewal. The committee's assessment, summarized in a letter from the relevant divisional dean, is advisory to the dean. The college committee review focuses on whether earlier review processes were consistent with written university, college, and TIU procedures and criteria.

## 2. TIU Promotion and Tenure Committees

Any TIU within the College of Arts and Sciences may establish a Promotion and Tenure Committee to assist the Committee of the Eligible Faculty in managing the promotion and tenure process. The Promotion and Tenure Committee is formed using rules and procedures defined by the TIU.

When considering cases involving Clinical/Teaching/Practice or Research faculty, the Promotion and Tenure Committee may be augmented by non-probationary Clinical/Teaching/Practice or Research faculty members, as defined by unit rules and procedures.

### C. Quorum

Each TIU in the College of Arts and Sciences shall define a quorum that is required to discuss and vote on personnel decisions. The college recommends that the quorum be set as 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 unit chair or director has approved an off-campus assignment.

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

### D. Recommendation from a TIU's Committee of the Eligible Faculty

In votes taken on personnel matters within the TIUs of the College of Arts and Sciences, 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.

## 1. Appointment

In the [SHIFT](#) Framework for faculty recruitment, search committees make their recommendations to the TIU head. For those units that incorporate a faculty vote in their overall recommendation, the portion of positive votes required to receive a positive recommendation from the faculty needs to be defined by the TIU.

In the case of joint appointments, the TIU of a jointly appointed candidate must seek input from the joint-appointment TIU or center prior to the appointment of that candidate.

## 2. Reappointment, Promotion and Tenure, and Promotion

Each TIU in the College of Arts and Sciences shall define in its APT document the minimum number of votes required for a positive recommendation for reappointment, promotion and tenure, and promotion. The College recommends that a simple majority of the votes cast by eligible faculty members be used for a positive recommendation for reappointment, promotion and tenure, promotion, and contract renewal.

In the case of joint appointments, the TIU of a jointly appointed candidate must seek input from the joint-appointment TIU or center prior to the reappointment or promotion and/or tenure of that candidate.

## IV. APPOINTMENTS

Within the College of Arts and Sciences, the faculty is organized into departments, schools, and other units as defined in section [3335-3-34](#) of the Rules of the University Faculty. For each type of faculty appointment (tenure-track faculty, clinical/teaching/professional practice faculty, research faculty, associated faculty, courtesy faculty, and/or faculty of the foregoing types at regional campuses), a TIU's APT document must describe: (1) the unit's criteria for making such an appointment and (2) the evidence to be provided in support of such an appointment.

The appointment of all compensated tenure-track, clinical/teaching/professional practice, research, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT](#) Framework for faculty recruitment, as stipulated in Section IV. B below.

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

It is the expectation of the college that a faculty appointment forwarded from a TIU for approval by the college or a courtesy faculty appointment made by a TIU will have been made consistent with that TIU's APT document, and other relevant policies, procedures, practices, and standards established by the college, the Rules of the University Faculty, the Office of Academic Affairs, and the Office of Human Resources.

### A. Criteria

#### 1. Tenure-track Faculty

The College of Arts and Sciences is home to a wide range of scholars that represent the many fields that make up the arts and sciences. The College will support the hiring of only the best available tenure-track faculty

members consistent with the strategic needs of the TIU and the College, and with the goal of having as diverse a faculty body as possible. The College recruits and appoints to its faculty only individuals who enhance or have the strong potential to enhance the quality of research, teaching, and service that is characteristic of a world-class arts and sciences college. Regardless of the level of appointment, an important consideration for appointment includes the individual's record to date in research, teaching and service; potential for further growth in these three areas; and the potential for collaboration and cooperation with other faculty and students across the College of Arts and Sciences as well as outreach outside of the college in the university and the community.

*a. 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 those for an assistant professor. A TIU 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. When an instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the third year of appointment, the third year is a 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 committee of the eligible faculty, the TIU head, 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 without a formal approved request for an extension of the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

*b. Assistant Professor*

At a minimum it is expected that individuals who are appointed as an assistant professor without tenure will have earned a Ph.D. or terminal degree in an appropriate field of study, shown evidence of the potential to develop into an internationally recognized scholar/researcher, demonstrated potential as an effective teacher at both the undergraduate and graduate levels, and have a willingness to provide high-quality service to her or his field and institution. At the time of appointment to the rank of assistant professor, the individual must have a strong potential to attain tenure and advance through the ranks in a timely fashion.

An appointment to the rank of assistant professor is always probationary and may not exceed six years, including prior service credit. An assistant professor is reviewed for promotion and tenure no later than the sixth year of appointment as an assistant professor and informed by the end of the sixth year as to whether or not promotion and tenure will be granted.

Promotion and tenure may be granted at any time during the probationary period when the faculty member's record of achievement merits tenure and promotion. Similarly a probationary appointment may be terminated at any time subject to the notice provisions of Faculty Rule [3335-6-08](#) and the provisions of paragraphs (G), (H), and (I) of Faculty Rule [3335-6-03](#).

c. *Associate Professor (with tenure)*

It is expected that an individual appointed to the College of Arts and Science faculty as an associate professor with tenure is a nationally recognized researcher with a high-quality body of scholarship, has demonstrated excellence in teaching undergraduate and graduate students, and demonstrated excellence in service/outreach to their profession and field as well as locally to the university. It is expected at the time of appointment to the rank of associate professor that the individual has strong potential to advance to the rank of professor in a timely fashion. On rare occasions, however, individuals may be appointed as associate professor without tenure when joining the faculty.

d. *Professor (with tenure)*

It is expected that an individual appointed to the College of Arts and Sciences faculty as professor with tenure has established a national or international reputation as a leading scholar in their field with an outstanding body of scholarship, has demonstrated excellence in teaching at graduate and undergraduate levels and has demonstrated a record of high-quality service to their field and institution.

Appointments at the rank of professor without tenure are not possible.

2. *Clinical/Teaching/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 clinical/teaching/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 assistant and associate clinical/teaching professors and 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 clinical/teaching/professional practice professors must be for a period of at least three years and no more than eight years. These extended appointments are not probationary, and the individual may only be terminated for cause (see rule [3335-5-04](#) of the Administrative Code) or financial exigency (see rule [3335-5-02.1](#) of the Administrative Code).

Tenure is not granted to clinical/teaching/professional practice faculty. There is also no presumption that subsequent appointments will be offered, regardless of performance. The terms of a contract may be re-negotiated at the time of reappointment. TIUs may determine the process for reappointment according to procedures set forth in the university policy [Faculty Annual Review and Reappointment Policy](#), III, A-G.

The POA of each TIU that appoints clinical/teaching/professional practice faculty must describe the governance rights to be extended to its clinical/teaching/professional practice faculty.

a. *Clinical/Teaching/Professional Practice Instructor*

Appointment is normally made at the rank of instructor when the appointee has not completed the requirements for the terminal degree. The TIU will make every effort to avoid such appointments.

An appointment at the instructor level may be limited to a three-year contract. In such cases, if the instructor has not completed requirements for promotion to the rank of assistant teaching 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.

*b. Assistant Clinical/Teaching Professor and Professional Practice Professor*

An earned doctorate or other terminal degree in the relevant field or equivalent experience and the required licensure/certification in their specialty are the minimum requirements for appointment at the rank of assistant clinical/teaching professor or professional practice professor. Evidence of ability to teach is highly desirable.

*c. Associate Clinical/Teaching Professor, Professional Practice Associate Professor and Clinical/Teaching Professor, and Professional Practice Professor*

Appointment at the rank of associate clinical/teaching professor, professional practice associate professor, clinical/teaching professor, and professional practice professor requires that the individual have an earned doctorate or other terminal degree in the relevant field or equivalent experience and the required licensure/certification in his/her specialty, and meet, at a minimum, the TIU's criteria—in teaching, professional practice and other service—for promotion to the rank. Appointment at the rank of associate clinical/teaching professor or professional practice associate professor may also require, at the discretion of the TIU, production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice. Appointment at the rank of clinical/teaching professor or professional practice professor requires production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

### 3. Research Faculty

Appointments to the research faculty are fixed one- to five-year term contract appointments that are not eligible for tenure. Research faculty members are engaged in research related to the mission and duties of their respective units within the college. Research faculty can comprise no more than 20% of the number of tenure-track faculty in an individual unit. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the unit wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule [3335-7](#). The primary duty of research faculty is to conduct research.

The minimum requirements for appointment as a research assistant professor are an earned doctorate or other terminal degree in a relevant discipline and evidence of research experience as defined by the relevant discipline. The minimum requirements for appointment at the level of research associate professor or research professor include a substantial record of independent scholarship consistent with what would be expected for a tenured faculty member at that level. Appointments at the rank of research assistant professor require approval of the College of Arts and Sciences. Appointments at the rank of research associate professor or research professor require approval of the College of Arts and Sciences and the Office of Academic Affairs. Each TIU making research rank faculty appointments will establish procedures for searching and appointing research rank faculty and detail these procedures in that unit's appointments, promotion and tenure document.

### 4. Associated Faculty

Unless otherwise indicated, associated appointments are made for no more than three years. In accordance with University Rule [3335-6-08](#) (D), decisions regarding the appointment and renewal of associated faculty on year-to-year contracts must be made in accordance with criteria and procedures of the appointing instructional

or research unit and in accordance with University policies concerning associated faculty positions. Appointments of all associated faculty must be reviewed and approved by the College of Arts and Sciences.

a. *Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.*

Adjunct titles are used to confer faculty status on individuals who have credentials comparable to tenure-track, clinical/teaching/professional practice, or research faculty of equivalent rank. The adjunct faculty rank is determined by applying the criteria for appointment of tenure-track, clinical/teaching/professional practice, or research faculty, as appropriate to the appointment. Adjunct appointments are typically uncompensated. Adjunct appointments are given to individuals who provide compensated or uncompensated academic service to the unit for which a faculty title is appropriate, and the term of appointment is for one year with renewal contingent on continued significant contributions. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track, clinical/teaching/professional practice, or research faculty, as appropriate to the appointment.

b. *Lecturer and Senior Lecturer*

Appointment as a lecturer requires that the individual have at a minimum, a master's degree in a field appropriate for the subject matter to be taught. Evidence of, or potential for, high quality instructional ability is required. Lecturers are not eligible for tenure but may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer cannot exceed one year. Second and subsequent contracts for lecturers cannot exceed three years. Appointment as a senior lecturer requires that the individual have at a minimum, a doctorate or terminal degree in a field appropriate for the subject matter to be taught, along with evidence of ability to provide high quality instruction; or a master's degree and at least five years of teaching experience with documented high-quality performance. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer cannot exceed one year. Second and subsequent contracts for senior lecturers cannot exceed three years.

c. *Assistant Professor, Associate Professor, Professor appointed at less than 50%*

An earned terminal degree is the minimum requirement for appointment of tenure-track titles at 49% FTE or below. Appointments at tenure-track titles are for individuals at 49% FTE or below, either compensated or uncompensated. The initial rank is determined by applying the criteria for appointment of tenure-track faculty. Such faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

d. *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 they hold at their home institution. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointment of tenure-track faculty. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years.

5. **Regional Campus Faculty**

As the missions of the regional campuses emphasize undergraduate instruction, regional campus criteria for

appointment at the tenure-track ranks of assistant professor, associate professor, and professor are similar to those of the Columbus campus faculty but give relatively greater emphasis at each rank to teaching experience and quality.

Regional campus criteria for the appointment of clinical/teaching/professional practice faculty, research faculty, and associated faculty are the same as those for Columbus campus faculty in each of these categories. Procedures for the appointment of regional campus faculty are further specified in the governance documents for the relevant regional campus.

## 6. Emeritus Faculty

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

Faculty will send a request for emeritus faculty status to the TIU head (regional campus dean for associated faculty on regional campuses). The faculty eligible to conduct promotion reviews within the requestor's appointment type (see Section III.A.1-4) will review the application and make a recommendation to the TIU head. The TIU head will decide upon the request, and if appropriate submit it to the dean, who will forward a recommendation to the provost. 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; has 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.

Any university perquisites provided to emeritus faculty are subject to the discretion of a TIU and modification at any time. The provision of office space, secretarial support, office supplies, and technology use, either at retirement or anytime thereafter, is at the sole discretion of each TIU and/or college. Emeritus faculty may not vote at any level of governance and may not participate in promotion and tenure matters.

## 7. Joint Appointments

Joint appointments are created to leverage a faculty member's unique expertise to advance the mission areas of the academic units involved and promote cross-disciplinary collaboration. To establish a joint faculty appointment, a memorandum of understanding ([MOU](#)) is developed by all affected TIUs, centers, and/or institutes. The MOU will clearly define the distribution of the faculty member's time commitment to the different units. The MOU will also state the sources of compensation directed to the faculty member, distribution of resources, the planned acknowledgement of the academic units in publications, the manner in which credit for any grant funding will be attributed to the different units, and the distribution of grant funds among the appointing units. Unless other arrangements are specified in the MOU, the TIU in which the faculty member's FTE is greater than 50% will be considered that faculty member's TIU. Joint-appointed faculty may vote on promotion and tenure cases only in their TIU.

## 8. Courtesy Appointments for Faculty

The active academic involvement in a unit by a faculty member from another unit at Ohio State sometimes

warrants the offer of a 0% FTE (courtesy) appointment in the unit. Appropriate active involvement includes research collaboration, graduate student advising, teaching some or all of a course, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized. In contrast with other associated appointments, these can be for multiple years, typically with a review for continuation after three to five years.

## **B. Procedures**

The appointment of all compensated tenure-track, clinical/teaching/professional practice, research, and associated faculty, irrespective of rank, must be based on a formal search process following the SHIFT Framework for faculty recruitment. All faculty positions must be posted in Workday, the university's system of record for faculty and staff. A formal review and selection process, including interviews using pre-designed evaluation rubrics, is required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in Workday to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

In addition, see the Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments for information on the following topics:

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

### **1. Tenure-track Faculty – Columbus Campus**

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. This includes all external candidates for all faculty positions. The only exception is for dual career partners, as described in Chapter 5, section 4.1 of the [Policies and Procedures Handbook](#). TIUs must seek exceptions to this policy from the college and the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Within all TIUs of the college, searches for tenure-track faculty proceed as follows:

The Dean of the College, in consultation with the divisional deans, will authorize a TIU to undertake a search. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The TIU head appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the TIU. In some cases, where the position is interdisciplinary in nature, it is expected that members of the search committee will be drawn from other TIUs as well.

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



The [SHIFT](#) Framework serves as a centrally coordinated guideline and toolkit to support the entire process of faculty recruitment with clear engagement from all participating stakeholders involved in the faculty hiring process. This framework is intended to provide faculty engaged in search committees and staff providing support services with the tools and support needed to attract excellent and diverse applicant pools, conduct consistent and equitable evaluations, and successfully hire and properly onboard new faculty members who will continue our tradition of academic excellence. This framework consists of six phases, each targeting a specific stage of the recruitment process:

- “Phase 1 | Search Preparation & Proactive Recruitment is the earliest stage in the search process. Key steps during this phase include determining faculty needs for the unit, creating a search strategy (including timeline), establishing a budget, and identifying additional partners to include in the process. The steps in this phase provide guidance on forming committees, detail training requirements for search committee members, and innovative approaches to advertising and outreach. This section also includes ideas and resources for developing qualified, diverse talent pools to ensure alignment with the university’s commitment to AA/EEO principles and advance the eminence of the institution.
- “Phase 2 | Preliminary Review of Applicants” focuses on best practices for the application review and candidate screening processes. The guidelines and resources in this section support consistency, fairness, and equity in the review, assessment, and selection of candidates moving forward in the recruitment process. This section also outlines how to select a list of candidates for on-campus interviews.
- “Phase 3 | Finalists Interviews & Evaluations” provides guidance and tools for conducting interviews and campus visits, requesting reference letters (if not requested earlier in the application stage), and collecting feedback from everyone who interacted with the candidates. Adherence to the guidelines outlined in this section has a direct impact on enhancing the candidate experience and ensuring a consistent evaluation process. This phase concludes with the submission of a letter from the search committee to the TIU chair/director.
- “Phase 4 | Extend Offer” provides guidance and resources related to effectively selecting the most qualified candidate(s) for the position(s) and successfully negotiating to result in an accepted offer.
- Phase 5 | Preboard and Onboard” offers resources to help prepare and support new faculty as they transition to Ohio State. The suggestions in this phase focus on creating a seamless transition for incoming faculty and their partners/families, if applicable.
- Phase 6 | Reflect and Assess the Search” is a process supported by OAA to reflect on the hiring cycle each year and evaluate areas that may need improvement and additional support.

After the on-campus interviews, the eligible faculty meets to discuss perceptions and preferences and to vote on each candidate. The eligible faculty reports a recommendation on each candidate advisory to the chair or director. If more than one candidate achieves the level of support required to extend an offer, the TIU head decides, in consultation with the divisional dean, which candidate to approach first. At that time, terms of the hire will be discussed, including salary and other features of the recruitment; the relevant divisional dean must be consulted at this time. If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. All offers at the associate professor and professor ranks and all offers of prior service credit require the prior approval of the College of Arts and Sciences and the Office of Academic Affairs. After the TIU deliberations have been concluded, the chair or director will then contact the divisional dean to provide a summary of the interviews and recommendation for hiring.

TIUs are advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International Affairs. An [MOU](#) must be signed by

faculty eligible for tenured positions who are not U.S. citizens or nationals, permanent residents, asylees, or refugees.

Centers and institutes within the college are expected to participate in the hiring of faculty who might be affiliated with those centers and institutes. TIUs are encouraged to invite representatives from a relevant center or institute to participate in all aspects of the search process, including serving on the search committee. During the recruiting process, candidates who might become affiliates of the center or institute should meet with the director and other relevant faculty.

## 2. Clinical/Teaching/Professional Practice Faculty on the Columbus Campus

Searches for clinical/teaching/professional practice faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus or virtual interview will, as appropriate, address issues related to clinical work, teaching, or professional practice rather than scholarship.

## 3. Research Faculty on the Columbus Campus

Searches for research faculty generally proceed in the same manner as for tenure-track faculty, with the exception that during the on-campus or virtual interview it is primarily the candidate's research credentials that are evaluated.

## 4. Transfers

### *a. Transfer from the Tenure Track*

Tenure-track and tenured faculty may transfer from the tenure track to a clinical/teaching/professional practice or a research appointment if appropriate to the individual's circumstances and departmental and college needs, and if funding for the salary has been identified. 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.

When a tenured faculty member transfers to the clinical/teaching/professional practice or research faculty, tenure is relinquished though the rank is retained. The TIU head, the Dean of the College, and the Executive Vice President and Provost must approve all transfers.

Transfers from the clinical/teaching/professional practice and research faculty to the tenure track are not permitted. However, clinical/teaching/professional practice and research faculty may apply for tenure-track positions and compete in regular national searches for such positions.

### *b. Tenure Initiating Unit Transfer*

Faculty requests to voluntarily move from one TIU to another must be approved by the college dean(s), the Office of Academic Affairs, the TIU heads, and a simple majority of eligible faculty in the receiving TIU. For example, if an associate clinical professor is transferring, the eligible faculty are all tenured associate professors and professors and all non-probationary associate clinical professors and clinical professors.

Approval will be dependent on whether satisfactory fiscal arrangements for the change have been made and requires the establishment of mutually agreed-upon arrangements among the affected TIU heads, college

dean(s), and the faculty member. An MOU signed by all parties, including the Office of Academic Affairs, must describe in detail the arrangements of the transfer. Since normally the transferring faculty member will fill an existing vacancy in the receiving unit, the MOU will describe the resources supporting the position, including salary, provided by the receiving unit.

The Office of Academic Affairs can provide guidance to non-tenure-track faculty about the process for transferring from one TIU to another.

## 5. Associated Faculty on the Columbus Campus

The appointment of compensated associated faculty members requires a formal search following the [SHIFT](#) Framework, which includes a job posting in [Workday](#) (see Section IV.B) and candidate interviews. The appointment is then decided by the TIU head based on a recommendation from the search committee. The reappointment of all compensated associated faculty is decided by the TIU head in consultation with appropriate TIU governance committees.

Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the TIU. The proposal is considered at a regular TIU faculty meeting and if approved by the faculty, the TIU head extends an offer.

Associated faculty appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances. All associated faculty appointments expire at the end of the appointment term and must be formally renewed to be continued. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a semester-by-semester basis.

## 6. Regional Campus Faculty

The appointment of all compensated regional campus faculty requires a formal search following the [SHIFT](#) Framework, which includes a job posting in [Workday](#) and candidate interviews.

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

Candidates are interviewed by, at a minimum, the regional campus dean, divisional dean or their designee, TIU head, and either the regional campus search committee or a broader representation of the regional and Columbus faculties. The regional campus may have additional requirements for the search not specified in the TIU's Appointments, Promotion, and Tenure document. A decision to make an offer requires agreement by the TIU head and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin. Letters of offer must be signed by the TIU head and the regional campus dean.

Searches for regional campus clinical/teaching/professional practice faculty, research, and associated faculty are the same as those described above for tenure-track faculty.

## 7. Joint Appointments

A TIU may propose a joint appointment for a faculty member from another OSU TIU as described in Section IV.A.7. The potential for a joint appointment is typically evaluated during the recruitment process and, as such, is subject to all criteria outlined above for each faculty category.

Approval of the joint appointment by the Office of Academic Affairs is dependent on establishing a mutually agreed-upon arrangement between the TIU heads, college dean(s), and the faculty member. An [MOU](#) signed by all parties, including the Office of Academic Affairs, must describe in detail the arrangements of the joint appointment. Administrative approval will be dependent on whether satisfactory fiscal arrangements have been made.

## 8. Courtesy Appointments

Procedures for courtesy appointments are established at the TIU level in accordance with university policies relative to courtesy faculty positions and titles.

Any TIU faculty member may propose a 0% FTE (courtesy) appointment for a faculty member from another Ohio State TIU. A proposal that describes the uncompensated academic service to this TIU justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the TIU head extends an offer of appointment. The TIU head 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 TIU faculty meeting.

## V. ANNUAL PERFORMANCE AND MERIT REVIEW PROCEDURES

The TIUs within the College of Arts and Sciences follow the requirements for annual reviews as set forth in the [Faculty Annual Review and Reappointment Policy](#). It is the expectation of the college that annual performance and merit reviews will be consistent with a TIU's APT document and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

The annual performance and merit review of a faculty member is the responsibility of that faculty member's TIU head. Annual performance and merit reviews must include a scheduled opportunity for a face-to-face meeting for all probationary faculty, an opportunity for a face-to-face meeting for all other compensated faculty members, as well as a written assessment. The TIU head is required (per Faculty Rule [3335-3-35](#)) to include a reminder in the annual 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.

TIU heads may designate the responsibility for annual performance and merit reviews to appropriate unit administrators. The designee or a subcommittee of the eligible faculty may provide a written assessment to the TIU head. However, the TIU head must schedule a face-to-face meeting with all probationary faculty as part of the review. An opportunity for a face-to-face meeting with the TIU head or the TIU head's designee must be provided to all tenured and non-probationary faculty.

In all cases, accountability for the annual review process resides with the TIU head.

Depending on a faculty member's appointment type, the annual review is based on expected performance in research/creative work, teaching, and service as set forth in the TIU's guidelines on faculty duties, responsibilities, and workload; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. Meritorious performance in research/creative work, teaching, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.

Consistent with the land-grant mission of the university, TIUs may also set expectations related to engagement with partners beyond the university. Engagement may, depending on the field and the project, take the form of research/creative work, teaching, or service. Expectations for engagement, criteria of evaluation, and mechanisms for recognizing and rewarding such work should be clearly described in TIU APT documents.

Finally, the TIU may set expectations regarding the ways individual faculty exemplify and reinforce the university's shared values, including creating unit cultures that are inclusive, supportive, and characterized by civility and mutual respect.

Annual review letters should not merely be descriptive summaries of an individual's activities in a given year; they should evaluate the individual's performance in relation to the unit's mission, assigned workload, previously articulated goals for that individual, and specific expectations for the coming year. The annual review should also describe, when appropriate, actions the unit or its head will undertake to support the faculty member in achieving goals. The college expects that the full range of activities individual faculty are asked to undertake will be formally recognized and, when done well, rewarded.

The review of faculty with budgeted joint appointments must include input from the joint appointment TIU head for every annual evaluation cycle. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on goals specific to the individual in the joint unit.

The dean must assess an annual performance and merit review when a TIU has submitted (1) a Report of Non-Renewal of Probationary Appointment of Faculty; (2) the fourth-year review of a probationary faculty member; or (3) a Report of Contract Renewal or Non-Renewal for clinical/teaching/professional practice faculty or research faculty. In each of these cases, the decision of the dean is final.

## **A. Documentation**

For their annual performance and merit review, the college requires compensated faculty members to submit the following documents to their TIU head according to due dates established within each TIU:

- An annually updated Office of Academic Affairs [dossier outline](#) (required for probationary faculty) or an annual activity report detailing performance and accomplishments (non-probationary faculty)
- An annually updated CV, which will be made available to all faculty in an accessible place (all faculty)

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. This documentation is described in Section VI of each TIU's APT document.

Under no circumstances should faculty solicit evaluations from any party for the 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 – Columbus Campus**

All probationary faculty members must be reviewed annually during the probationary period. Normally the reviews are conducted during the spring semester. Each probationary faculty member must receive a written evaluation of performance from the TIU head, with sufficient detail for meaningful feedback. TIU heads will offer a tenure-track faculty member a scheduled opportunity to discuss the review, the faculty member may respond in writing to the TIU head's performance evaluation, and the TIU head may respond in writing if warranted. Annual reviews and any written comments will be sent to the college and added to faculty personnel files.

### **1. First-, Second-, Third-, and Fifth-Year Reviews**

Following the reviews conducted during the first, second, third, and fifth years, when a TIU wishes to renew the appointment of a faculty member, the TIU head will notify the divisional dean and dean of this decision. The TIU head's recommendation is final in such cases. If the TIU head recommends against renewal, the dean, in consultation with the divisional dean, will make the final decision about the appointment using the fourth-year review procedures listed below. A probationary faculty member must be informed in writing of a decision for nonrenewal according to standards of notice set forth in University Rule [3335-6-08](#), and in keeping with instructions from the Office of Academic Affairs. Non-renewal letters must be approved by the dean in advance of being sent.

### **2. Fourth-Year Review**

During the fourth year of the probationary period, the annual review follows the same procedures as the mandatory tenure review, with the exceptions that external evaluations are optional and, unlike the annual reviews in the first, second, and third years, it is the college dean (not the department chair) who makes the final decision regarding renewal or nonrenewal of the probationary appointment. External evaluations are only solicited when either the TIU head or the eligible faculty determines that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's research is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the research without outside input.

The eligible faculty conducts a review of the candidate and forwards a record of the vote and a written performance review to the TIU head. The TIU head conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. The review thus results in two letters of evaluation: one from a faculty review committee constituted according to procedures stated in each TIU's Appointments, Promotion and Tenure (APT) document, and a separate letter from the TIU head. At the conclusion of the TIU 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 TIU head recommends renewal or nonrenewal. Renewal of the appointment of a probationary faculty member for the fifth year requires the approval of the divisional dean. In cases where the divisional dean concurs with the TIU's recommendations to approve the renewal of the appointment, review by the Arts and Sciences divisional Promotion and Tenure review panel is optional and at the divisional dean's discretion. The divisional review panel, however, must review negative reappointment recommendations. The dean, in consultation with the divisional dean, will make the final decision on non-reappointment.

### 3. Extension of the Tenure Clock

Faculty Rule [3335-6-03](#) (D) sets forth the conditions under which a probationary tenure-track faculty member may extend the probationary period. [Faculty Rule 3335-6-03 \(E\)](#) does likewise for reducing the probationary period. A faculty member remains on duty regardless of extensions or reductions to the probationary period, and annual reviews are conducted in every probationary year regardless of time extended or reduced. Approved extensions or reductions do not limit a TIU's right to recommend nonrenewal of an appointment during an annual review.

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

Associate professors are reviewed annually by the professors in the unit, who comment on the faculty member's performance in relation to unit and individual goals and on progress toward promotion. The TIU head or designee conducts an independent assessment, may meet with the faculty member to discuss their performance, future plans and goals, and any relevant adjustments to workload, and prepares a written evaluation on these topics. The faculty member may provide written comments on the review and the TIU head may reply in writing if warranted.

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

Professors are reviewed annually by the TIU head or designee who may seek input from the professors in the unit. The annual review of professors is based on their having achieved sustained excellence and ongoing outcomes in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by ongoing national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and ongoing outstanding service to the TIU, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, civil and collegial interaction with colleagues, staff, 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 TIU head offers, and may require, a meeting with the faculty member to discuss their performance, future plans, and goals and prepares a written evaluation on these topics. The faculty member may provide written comments on the review and the TIU head may reply in writing if warranted.

#### **D. Clinical/Teaching/Professional Practice Faculty on the Columbus Campus**

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

In the penultimate contract year of a clinical/teaching/professional practice faculty member's appointment, the TIU head 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 generally proceeds in the same manner as the Fourth-Year Review procedures for tenure-track faculty. TIUs may determine additional aspects of the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). There is no presumption of renewal of contract.

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

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

In the penultimate contract year of a research faculty member's appointment, the TIU head 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 generally proceeds in the same manner as the Fourth-Year Review procedures for tenure-track faculty. TIUs may determine additional aspects of the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). There is no presumption of renewal of contract.

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

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

The TIU head's decision on renewal of the initial appointment is final. **[If the TIU head's recommendation follows a vote of the eligible faculty, that should be stated in TIU APT.]** If the decision is to renew, the TIU head may extend a multiple year appointment.

Compensated associated faculty members on a multiple year appointment (or hired annually for multiple years) are reviewed annually by the TIU head or designee. The TIU head or designee prepares a written evaluation and meets with the faculty member to discuss his/her/their performance, future plans, and goals. No later than October 15 of the final year of the appointment, the TIU head will decide whether or not to reappoint. **[If the TIU head's decision follows a vote of the eligible faculty, that should be stated in the TIU APT.]** The TIU head's decision on reappointment is final.

#### **G. Regional Campus Faculty**



Regional campus tenure-track faculty are reviewed according to the process established on that campus, with a focus on teaching and service. Following the review by the regional campus, the regional campus dean meets with the TIU head for each regional campus faculty member for evaluation of the faculty member's activity during the review period. The regional campus dean provides an annual performance and merit review letter focused on teaching and service. Following review by the Columbus campus TIU, the CEF and TIU head provide independent letters evaluating the faculty member's research and creative activity during the review period. In the event of divergence in performance assessment between the regional campus and the TIU, the TIU head discusses the matter with the regional campus dean/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

Regional campus clinical/teaching/professional practice faculty are reviewed according to the process established on that campus, with the review focusing on teaching and service. The regional campus dean will provide the TIU head a copy of a clinical/teaching/professional practice faculty member's annual performance and merit review letter.

The annual performance and merit review of regional campus research faculty takes place on the Columbus campus and follows the same procedures as those described above for Columbus campus research faculty. Following the review, the TIU head will consult with the regional campus dean. The TIU head will provide the regional campus dean a copy of the faculty member's annual performance and merit review letter.

Regional campus associated faculty are reviewed according to the process established on that campus, with the review focusing on teaching and service, as applicable.

## **H. Salary Recommendations**

Each TIU should adopt a process appropriate for the distribution of merit salary and other rewards, one that recognizes the importance of qualitative rather than merely quantitative contributions in each area of faculty activity. Units should guard against rigid formulas or weightings of research/creative work, teaching, and service that might limit recognition of extraordinary one-time commitments in one or more areas, of variations in workload, or of shifts in responsibilities at different stages of professional development.

It is the expectation of the college that merit salary increases and other rewards made by a TIU will be made consistent with that TIU's APT document and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

The TIU head recommends annual salary increases and other performance rewards to the divisional dean, who may modify these recommendations. In formulating recommendations, the TIU head may consult with an appropriate TIU committee as described in each unit's APT document.

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

On occasion, one-time cash payments or other rewards, such as extra travel funds, may be made to recognize non-continuing contributions that justify reward but do not justify permanent salary increases. Such

payments/rewards are considered at the time of annual salary recommendations and require the approval of the divisional dean.

Meritorious performance in research/creative work, teaching, and service is assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance is established by each TIU but may be no less than the past 12 months and no more than the past 36 months. Faculty with high quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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. REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION**

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

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

In accordance with Faculty Rule [3335-6-02\(E\)](#), each TIU must have an APT document that describes (1) the unit's criteria for the award of tenure and promotion to the rank of associate professor, and (2) the unit's criteria for promotion to the rank of professor. Each TIU that appoints clinical/teaching/professional practice faculty must have in its APT document the unit's criteria for promotion to the rank of associate professor and professor for its clinical/teaching/professional practice faculty. Each TIU that appoints research faculty must have in its APT document the unit's criteria for promotion to the rank of associate professor and professor for its research faculty. Each TIU that appoints regional campus tenure-track faculty must have in its APT document the unit's criteria and procedures associated with promotion and tenure of such faculty. TIU APT documents also must include the evidence to be provided in support of each of the foregoing actions that are relevant to that unit.

The purposes of the college-level promotion and tenure and promotion reviews are: (1) to determine whether the TIU has conducted its review and reached a recommendation consistent with university, college, and unit standards, criteria, policies, and rules; and (2) to determine where the weight of the evidence lies in cases in which there is not a clear or consistent recommendation from the TIU. If, in their judgment, the recommendation of the unit is not consistent with university, college, and TIU standards, criteria, policies, and rules, the divisional review panel and/or the dean may make a recommendation that is contrary to the recommendation of the TIU.

## A. Criteria

For each category of faculty appropriate to a TIU of this college and in a manner consistent with this document, a TIU's APT document must describe (1) the criteria for promotion and tenure, as appropriate to the specific TIU; (2) the types of evidence that demonstrate impact and show that criteria have been met; (3) the levels of achievement necessary to meet the stated criteria within the context of the TIU's mission, the standards of Chapters 6 and 7 of the Faculty Rules, the standards and mission of the college, and the mission of the University; and (4) criteria for evaluation of joint appointment candidates.

The standards of quality and effectiveness required must be representative of high performance. When a TIU forwards the dossier of a candidate for review and has recommended that promotion and tenure or promotion be granted, the college expects that the TIU has ensured that the evidence of the qualifications and performance of the candidate meet or exceed the TIU and college criteria applicable to the nomination.

### 1. Promotion to associate professor with tenure

Promotion to associate professor with tenure in the College of Arts and Sciences requires excellence in both research/creative work and teaching. Evidence of service to the unit and the promise of excellence in service beyond the unit are desirable.

Excellence in research/creative work means attainment of measurable national or international recognition based on an appropriate amount and rate of high-quality published research and/or other relevant creative endeavors. A successful candidate will have an emerging national reputation as a scholar or creative artist. Excellence in teaching means the provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. Excellence in service means the provision of a high level of professional expertise and experience to one or more publics – including the university, the Columbus community, the State of Ohio, the nation, and professional organizations. The service contribution during the probationary period of assistant professors is limited by design. The most important judgment is that the candidate will achieve excellence in service in the future.

The substantial probability that a high rate of quality research/creative work and excellence in teaching and service will continue needs to be established. The claim that awarding tenure to the candidate will improve the overall quality and standing of the unit needs to be supported.

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

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.

### 2. Promotion to professor

Promotion to professor in the College of Arts and Sciences takes the pursuit of research and creative excellence as our core value. The College also recognizes that a career may consist of various phases in which a concentration on research/creative work, teaching, or service creates a composite professional life. Promotion

to professor typically requires excellence in scholarship/creative work. Where a candidate has made truly extraordinary contributions in the areas of teaching or service, that record may warrant promotion in combination with a less extensive, though excellent, record of continued productivity in research/creative work.

Excellence in research/creative work means attainment of measurable national or international recognition based on an appropriate amount and rate of high-quality published research and/or other relevant creative endeavors. A successful candidate will have achieved national distinction as a researcher or creative artist and have an emerging international reputation. Excellence in teaching means the provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. It can be measured by the attainment of national or international recognition, as evidenced by pedagogical publications, awards, honors, and/or critical student outcomes.

Excellence in service means the provision of a high level of professional expertise and experience to one or more publics – including the university, the Columbus community, the State of Ohio, the nation, and professional organizations.

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 research/creative work, teaching, and service, but also to those who have exhibited excellence in leadership to make a demonstrable impact on the mission of the TIU, college and university.

External hires at the associate professor or professor level with tenure will demonstrate the same accomplishments in research/creative work, teaching and service as persons promoted within the university. For all, the substantial probability that a high rate of quality research/creative work and excellence in teaching and service will continue needs to be established. The claim that promotion of the candidate will improve the overall quality and standing of the unit needs to be supported.

### 3. Clinical/Teaching/Professional Practice Faculty

#### *a. Promotion to assistant clinical/teaching/practice professor*

The College of Arts and Sciences requires that a faculty member has completed their doctoral or other terminal degree in the relevant field or equivalent experience, met the required licensure/certification in their specialty and be performing satisfactorily in teaching, professional practice, and service.

#### *b. Promotion to associate clinical/teaching professor or professional practice associate professor*

The College of Arts and Sciences requires that a faculty member hold a doctoral or other terminal degree in the relevant field or equivalent experience, show convincing evidence of excellence as a teacher and a provider of effective service; have a documented high level of competence in professional practice; and display the potential for continuing a program of high-quality teaching and service relevant to the mission of the TIU.

Specific criteria in teaching and service for promotion to associate clinical/teaching professor or professional practice associate professor are similar to those for promotion to associate professor with tenure and are established by the TIU. If scholarship activity pertinent to pedagogy and/or professional practice is required, this must be noted. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

c. *Promotion to clinical/teaching professor or professional practice professor*

The College of Arts and Sciences requires that a faculty member have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and/or practicum supervision and professional practice; leadership in service to the TIU and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

4. Research Faculty

a. *Promotion to research associate professor*

The College of Arts and Sciences requires excellence in scholarship. There is an expectation of a record of significant external support for research and a substantial probability that external support for research will continue. The claim that retention of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported.

b. *Promotion to research professor*

The College of Arts and Sciences requires excellence in scholarship. There is an established record of significant external support for research and a substantial probability that external support for research will continue. The claim that promotion of the candidate will improve the overall scholarly quality and standing of the unit needs to be supported.

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

5. Associated Faculty

a. *Promotion to Adjunct Associate Professor and Adjunct Professor*

The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track, clinical/teaching/professional practice, or research faculty, as appropriate to the appointment, above.

b. *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.

c. *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.

d. *Promotion of Visiting Faculty*

Visiting faculty members are not eligible for promotion.

## 6. Regional Campus Faculty

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic and other needs of their communities. With this consideration in mind, in evaluating regional campus tenure-track faculty for promotion and tenure or promotion, TIUs within the College of Arts and Sciences will give greater emphasis to the quality of teaching and service relative to research/creative work. Recognizing that the character and quantity of research/creative work by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, TIUs should nevertheless expect regional campus faculty to establish a program of high-quality research/creative work as a fundamental requirement for promotion and tenure or promotion.

In evaluating regional campus clinical/teaching/professional practice faculty and research faculty for promotion, TIUs will use the same criteria as described above for the promotion of faculty in each of these categories. Regional campus associated faculty are reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean. The decision of the regional campus dean is final.

### B. Procedures

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

#### 1. Tenure-Track, Clinical/Teaching/Professional Practice, and Research Faculty on the Columbus Campus

a. *Candidate Responsibilities*

Candidates for promotion and tenure or promotion within the College of Arts and Sciences are responsible for submitting a complete, accurate dossier and providing a copy of the APT document under which they wish to be reviewed, if other than their TIU's current document (see below). When external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to their TIU's guidelines. Each of these elements is described in detail below.

## Dossier

Every candidate must submit a complete and accurate dossier that follows the current 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 a TIU's Promotion and Tenure Committee, Procedural Oversight Designee or Committee of the Eligible faculty, as specified in the TIU APT document, will make reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by him/her/them.

TIUs will require unit-appropriate documentation. It is the responsibility of the TIU to evaluate and verify this documentation.

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

For research/creative work documentation, a full history of publications and creative work should be included, as this information provides context for the more recent record and/or documents the independence of a scholarly research program. . Information about research/creative work produced prior to the start date (for probationary faculty) or date of last promotion (for tenured or non-probationary faculty) should 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 non-probationary faculty, it is the date of last promotion or the last five years, whichever is more recent, to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated.

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

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

Candidates must indicate the APT document under which they wish to be reviewed. A candidate may be reviewed using their TIU'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 last reappointment in the case of clinical/teaching/professional practice and research 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 TIU.

#### External Evaluations (see also External Evaluations below)

As noted above, if external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to their TIU's guidelines, and for providing information about potential conflicts of interest between candidate and potential evaluator. 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. The TIU head decides whether removal is justified.

#### *b. TIU Promotion and Tenure Committees' Responsibilities*

For TIUs with promotion and tenure committees within the College of Arts and Sciences, the responsibilities of such a committee are as follows:

- To review the TIU's APT document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
  - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
  - A tenured faculty member may be denied a formal promotion review under Faculty Rule [3335-6-04A\(3\)](#) only once. Faculty Rules [3335-7-08](#) and [3335-7-36](#) make the same provision for non-probationary clinical/teaching/professional practice and research faculty, respectively. 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 TIU head, 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 TIU head. The external evaluators will be drawn predominantly from the lists of peer and aspirational peer programs (see Section VI.B.4 below). Justification will be provided in cases when a suggested evaluator is from a program not included on these lists.
- **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
- Meet with each candidate for clarification as necessary and provide the candidate an opportunity to comment on his/her/their dossier. This meeting is not an occasion to debate the candidate's record.
- Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
- Consider the interdisciplinary work of a candidate across multiple units as part of the whole work, especially if the candidate has a joint appointment in another unit or is a member of a Discovery Theme.
- Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the TIU head.
- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- Provide a written evaluation and recommendation to the TIU head in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases.

c. *TIU Eligible Faculty Responsibilities*

For TIUs within the College of Arts and Sciences, the responsibilities of the members of the eligible faculty during promotion and tenure reviews are as follows:

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

If a TIU does not have a Promotion and Tenure Committee but delegates responsibility for promotion and tenure reviews to the members of the eligible faculty, the responsibilities of the eligible faculty of that TIU will include those of the Promotion and Tenure Committee listed just above.

d. *TIU Heads' Responsibilities*

The responsibilities of TIU heads in the College of Arts and Sciences during promotion and tenure reviews are as follows:

- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. The TIU must ensure that such questions are asked of all candidates in a non-discriminatory manner. For tenure-track assistant professors, TIU heads are to confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an MOU at the time of promotion with tenure.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the unit head, and the candidate. (Also see External Evaluations below.)
- To review faculty with budgeted joint appointments. The TIU head in the primary appointment unit will seek a letter of evaluation from the TIU head of the joint appointment unit, from a Discovery Theme director in which the candidate is a member of the core faculty, and from an interdisciplinary center or institute in which the candidate plays an active role. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on impact of the work of the individual in the field of the joint unit.
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted upon.
- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on unit, college, and university criteria.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions that are raised during the meeting. At the request of the eligible faculty, a TIU head will leave the meeting to allow open discussion among the eligible faculty members.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To explain to the eligible faculty any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the unit review process (1) of the recommendations by the eligible faculty and unit head; (2) of the availability for review of the written evaluations by the eligible faculty and unit head and (3) of the opportunity to submit written comments on the above material, within at least ten calendar days from receipt of the letter from the unit head for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the unit head,

indicating whether or not the candidate will submit comments.

- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline.
- To receive the Promotion and Tenure Committee's or eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units or core faculty members of a Discovery Theme and to forward this material, along with the unit head's independent written evaluation and recommendation, to the head of the other tenure initiating unit.

e. *College of Arts and Sciences Promotion and Tenure Committee Responsibilities*

- The College of Arts and Sciences Promotion and Tenure Committee is comprised of three review panels. The review panels, one for each of the divisions—Arts & Humanities, Natural and Mathematical Sciences, and Social and Behavioral Sciences—are appointed by the three divisional deans after consultation with the heads of divisional units. These panels are composed of between 6-10 tenured professors. Appointees must be members of the Graduate faculty and hold a 50% or more appointment in a TIU of the college. With the exception of the divisional dean, who chairs and is an ex-officio member of the respective review panel, no administrative appointee is eligible to serve as a committee member.
- Once a review panel is constituted, the divisional dean appoints a Procedures Oversight Designee (POD) and at least one primary reader and one secondary reader for each case. It is expected that all panel members have examined all TIU-approved dossiers being discussed. A draft of the report outlining the case may be prepared by the primary reader in advance and serve as the basis for the discussion of each case.
- The panel will review the materials provided by the TIUs for promotion and tenure consideration. These will be prepared in a manner spelled out by the TIU's Appointments, Promotion, and Tenure document.
- Once materials are submitted to the college for review and forwarded to the divisional panels from the associate dean for faculty affairs, no further consultation with TIU heads or committees on substantive matters should take place, with the exception of questions regarding procedural errors and/or the availability of significant new information. This assures that the levels of review are independent.
- Any committee member from a candidate's TIU is ineligible to participate in any discussion of the case, including procedures, policies, or the culture of the TIU.
- Should questions arise with respect to procedural errors (those that reasonably could have affected the outcome), they should be addressed before the review continues. Any error should be corrected at the level of the review at which it occurred. The case should be fully reconsidered from that point on. If internal letters have been generated at that level of review and beyond, they should be saved but not included in the dossier. The new written evaluations should note that reconsideration took place because of a procedural error and state the nature of that error. The comments process must be repeated for the new internal letters.

- Should there be significant new information, the record may be amended; however, all parties to the review process must review an amended record. If the information becomes available after a case has left the TIU, the college committee may return the case to the TIU.
- The divisional dean presides over the relevant review panel's discussion of each case. The criteria to be applied are outlined above and require excellence in research/creative work, teaching, and service. The divisional dean will be responsible for preparing the written report of the committee's assessment and vote. Only "yes" and "no" votes on the recommendation to tenure and/or promotion candidates are admissible; abstentions are strongly discouraged.
- After the review panels complete their work, they provide their reports to the dean. There is no comments process following the final decision.

*f. Dean's Responsibilities*

- Upon receipt of the report from the college committee, the dean considers each case and the recommendation of the committee. The associate dean for academic affairs may also advise the dean on tenure and promotion for each candidate. Following any consultation, the dean makes a final recommendation in writing to the executive vice president and provost with respect to promotion for tenure-track, clinical/teaching/professional practice, and research faculty. The executive vice president and provost shall review the dean's recommendation consistent with review procedures set forth in Faculty Rules [3335-6-03](#) and [3335-6-04](#). Any decision of the executive vice president and provost shall be final.
- Once the dean completes the letter to the executive vice president and provost, the dean informs the candidate and the TIU head of the completion of the college-level review and of the availability of the reports. The candidate and TIU head will be provided with copies of those reports. University rules and OAA guidelines regarding the comments process will then be followed.
- When a promotion and tenure decision is negative, the dean must advise the candidate of the right to appeal and of the final date of employment under the seven-year rule (if applicable).

2. Procedures for Associated Faculty on the Columbus Campus

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

3. Procedures for Regional Campus Faculty

The responsibilities of regional campus candidates are the same as those of a Columbus campus candidate as described above.

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

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

The review of regional campus research faculty takes place on the Columbus campus and follows the same procedures as those described above for Columbus campus research faculty. A request to promote requires agreement by the regional campus dean/director and the TIU head.

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

#### 4. External Evaluations

External evaluations of research/creative work are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research faculty reappointment and promotion reviews, all adjunct faculty promotion reviews, all clinical/teaching/professional practice faculty promotion reviews to the level of Clinical/Teaching Professor or Professional Practice Professor and, where required by the TIU governance documents, reviews for promotion to the level of Associate Clinical/Teaching Professor or Professional Practice Associate Professor.

TIUs within this college will seek external evaluations predominantly from evaluators in peer and aspirational peer programs that are clearly identified in the Appointments, Promotion, and Tenure document of each unit. The College of Arts and Sciences defines peer and aspirational peer institutions to include members of the Association of American Universities (AAU) and the Big Ten Academic Alliance (BTAA). Departments may define additional peer and aspirational peer institutions in their APT documents. Justification will be provided whenever a suggested evaluator is from a program not so specified.

A conflict of interest for external reviewers exists if the reviewer is or has been to the candidate: a) a thesis, dissertation, or postdoctoral advisee/advisor; b) a research collaborator, which includes someone who has been a coauthor on a publication within the past 3 years, including pending publications and submissions; c) a collaborator on a project within the past 3 years, including current and planned collaborations; d) in a consulting/financial arrangement with the candidate within the past 3 years, including receiving compensation of any type (e.g., money, goods, or services); e) a relative or close personal friend; or f) in any relationship, personal or professional, that could reduce the reviewer's objectivity. Also excluded are reviewers from the same institution, or those who had previous employment in the same institution within the past 12 months, or those who are being considered for employment at that institution.

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 research/creative work who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate (see description of conflict of interest for external reviewers just above). Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. TIUs will solicit evaluations only from professors with institutional affiliations predominantly in the programs specified in their Appointments, Promotion, and Tenure document.

All potential evaluators must be approved by the college through the associate dean for academic affairs. TIUs are encouraged to solicit evaluations from professors at institutions comparable to Ohio State. If the potential evaluator is from an academic institution that is not clearly a peer or aspirational peer for Ohio State (defined as AAU, BTAA, or included in the supplementary list in the TIU APT document), or if the potential evaluator is from a nonacademic institution (e.g., a public policy think tank, a private art academy or music conservatory, a museum, a biomedical company, or a governmental agency), a brief written justification is required. The TIU's justification should be based on the prestige of the institution, the credentials and experience of the evaluator, and/or the specific relevance of the evaluator's expertise to the candidate's activities. International evaluators from strong institutions are allowed. The research credentials of the evaluators should generally mirror those of a professor at the professor rank at 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. The TIU should provide justification if more than a minority of the evaluations are from associate professors (e.g., candidate's work is in a small or new field for which more senior people are not available, evaluators have gained prominence as national or international experts in the field). For reviews of associate professors, all evaluators must be professors (or equivalent). Emeritus professors are acceptable as long as they are active researchers.

A credible and useful evaluation also 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 descriptive or perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

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

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee or eligible faculty, the TIU head, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter must be 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. It is possible that no evaluator suggested by the candidate agrees to write. Neither the Office of Academic Affairs nor any TIU in this college requires that the dossier contain a letter from an evaluator suggested by the candidate.

The Office of Academic Affairs provides a suggested format for letters requesting external evaluations. A sample letter for tenure-track faculty can be found [here](#). A sample letter for clinical/teaching/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 TIU head, who will decide what, if any, action is warranted (e.g. 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 unless the Office of Academic Affairs approves exclusion. If concerns arise about any of the letters received, these concerns may be addressed in the TIU's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

## **VII. PROMOTION AND TENURE AND REAPPOINTMENT APPEALS**

Faculty members who believe they have been evaluated improperly for tenure, promotion, or reappointment may appeal a negative decision to the University Senate Committee on Academic Freedom and Responsibility.

Performance that is adequate for annual reappointment may not be adequate for the granting of promotion or tenure with promotion for faculty on the tenure track or, in the case of clinical/teaching/professional practice or research faculty, for securing a reappointment.

The procedures for appeals are outlined in Faculty Rules [3335-5-05](#) and [3335-6-05](#).

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

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

## **VII. SEVENTH-YEAR REVIEWS**

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

## **IX. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING**

The College of Arts and Sciences values excellence in teaching across disciplines and at all levels of instruction. Student and peer evaluations of teaching provide tools for assessing faculty teaching effectiveness and for providing faculty with regular opportunities for improvement.

Evaluation of teaching should be holistic, taking into account a wide variety of kinds of evidence of accomplishment in the classroom: for example, student evaluations (quantitative and narrative), peer evaluations, examples of curricular or pedagogic innovation, and efforts to improve teaching by taking advantage of college or university resources.

In no case should the evaluation of teaching rely exclusively on quantitative instruments (such as the SEI), which have been shown to be unreliable indicators of overall performance in the classroom and to work systematically to the disadvantage of women, non-native English speakers, and faculty of color. Evaluation of teaching should also be contextual, taking into account the particular challenges of teaching different kinds of material to different kinds of audiences, and situating each year's performance in relation to previous years and to goals set by the department.

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

Use of the Student Evaluation of Instruction (SEI) form or an equivalent end-of-course teaching assessment survey/tool is, by university policy, required in every course in the TIUs within the College of Arts and Sciences. Faculty should encourage a high completion rate by explaining to the class the significance of the evaluation. SEI scores are primarily an indicator of student satisfaction and may not be used as the sole evidence for teaching effectiveness. In units in which one-on-one instruction or other small formats make use of the SEI impractical, care should be taken to develop alternative means of assessing the effectiveness of that pedagogy. Units may not rely on anecdotal evidence of proficiency.

Faculty are also encouraged to use in-class discursive evaluations of teaching. Such evaluations should be developed, administered, and periodically assessed in accordance with unit policies and expectations. Someone other than the instructor should distribute and collect discursive evaluations while the instructor is out of the room, and completed evaluations should be held in the TIU office until the faculty member has turned in grades.

#### **B. Peer Evaluation of Teaching**

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

Each TIU will establish procedures for peer evaluation of teaching that are appropriate to its size and needs. The TIU head oversees the unit's peer evaluation of teaching process.

The following minimum guidelines should be followed:

##### **1. Probationary faculty**

The teaching of probationary tenure-track and clinical/teaching/professional practice faculty must be reviewed at least once per year during the probationary period, with the goal of adequately assessing teaching at all levels of instruction to which the faculty member is assigned. When assistant professors are reviewed for tenure and promotion, they are required to have a minimum of five peer evaluations of teaching from the probationary period. No more than two evaluations should be prepared by the same colleague.

Peer evaluations of teaching for probationary faculty are comprehensive and include, in addition to classroom



visitation (or the equivalent for an online course), review of course syllabi, instructional materials, assignments, and exams. Faculty under review should provide peer reviewers with the course syllabus and other materials well in advance of the classroom visit or visits. They should also provide reviewers with a list of preferred visitation dates. The college encourages the reviewer to meet with the faculty member under review to discuss the instructor's teaching philosophy, goals and expected outcomes for the course, and any challenges related to instruction (including previous feedback from previous evaluations of teaching). In addition to preparing a written report for the faculty member's dossier, the reviewer should meet with the faculty member following the classroom visitation for a more informal consultation about their teaching effectiveness. Although there is no requirement that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model should be followed to the extent possible.

Written reports of peer evaluation of teaching should focus not only on classroom performance but also on curricular choices, implicit and explicit goals of instruction, quality and effectiveness of testing tools, and engagement with current disciplinary knowledge. Written reports should be completed by the end of the semester of review and submitted to the TIU head, copied to the faculty member. The faculty member may provide written comments on this report and the peer reviewer may respond in writing to those comments if he or she wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier, unless the faculty member requests the comments be excluded.

## 2. Tenured and non-probationary faculty

The teaching of tenured associate professors and non-probationary assistant and associate clinical/teaching professors and non-probationary professional practice assistant and associate professors should be reviewed at least once every other year, with the goal of assessing teaching at all levels of instruction to which the faculty member is assigned. When associate professors are reviewed for promotion to professor, they will be required to have a minimum number of peer evaluations of teaching as defined by their unit's APT document. Reviews should follow the format described above for probationary faculty.

The teaching of tenured professors and non-probationary clinical/teaching professors and professional practice professors should be reviewed at least once every four years, with the goal of assessing teaching at all levels of instruction to which the faculty member is assigned.

## 3. Additional peer reviews of teaching

The TIU head may request peer reviews of the teaching of any faculty member who, in the head's judgment, would benefit from review. Typically, such reviews are in response to low or declining student evaluations or other evidence of the need for providing assistance to improve teaching.

Any faculty member may request additional peer review of teaching. Reviews conducted at the request of the faculty member are considered formative only. The TIU head 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 may also seek the services of the [Drake Institute for Teaching and Learning](#).