

**Appointments, Promotion, and  
Tenure  
Criteria and Procedures for  
The Ohio State University  
College of Arts and Sciences**

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APPOINTMENTS, PROMOTION, AND TENURE  
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## I. PREAMBLE

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty <http://trustees.osu.edu/university/facultyrules>; the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs *Policy and Procedures Handbook*, <http://oaa.osu.edu/leaders/handbook/>; and other policies and procedures of the college and university to which the department and its faculty are subject.

Should those rules and policies change, the 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 Executive Dean of the College of Arts and Sciences.

The Office of Academic Affairs must approve this document before it may be implemented. It sets forth the college's mission and, in the context of that mission and the missions of the university, its 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, <http://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerningfaculty-appointments-reappointments-promotion-and-tenure.html> 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 (same link as above), 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.

## II. MISSION OF THE COLLEGE OF ARTS AND SCIENCES

The arts and sciences are the university's primary laboratory for inquiry into human expression, social and cultural systems, and physical, biological, and cognitive processes. Study in the arts and sciences provides the basis for quantitative as well as creative thought; computational, technological, and communicative skills; historical consciousness and ethical perspective; literary understanding and artistic appreciation; international literacy and curiosity; and regard for values unlike one's own. Thus, the areas of study that comprise the arts and sciences are foundational to all university education and professional preparedness. As complex issues confront the world, it is to the arts and sciences that Ohio State – and communities beyond – look for the skills, knowledge, and imagination to understand and create solutions to these challenges.

The mission of the College of Arts and Sciences is to achieve excellence in scholarship, teaching, and service. Excellence in scholarship, which includes research, scholarly and creative works, can be measured by attainment of national and international recognition, as evidenced by publications, citations, external funding, presentations, performances, creation of original art, awards, and honors. Excellence in teaching can be measured by the attainment of local, national, and international recognition, as evidenced by pedagogical publications, awards, honors, and critical student outcomes. Excellence in service involves making available a high level of professional expertise, engagement, and experience to the public, including the university, the Columbus community, the State of Ohio, and the nation, as well as to scholarly professional organizations.

### III. DEFINITIONS

#### A. Committee of the Eligible Faculty

##### 1. Tenure Track Faculty

In the College of Arts and Sciences, the eligible faculty for appointment reviews of tenure track faculty consists of all tenure track faculty whose tenure resides in the various departments and schools that make up the College.

The eligible faculty for reappointment, promotion and tenure, and promotion reviews of tenure track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the tenure initiating unit excluding the unit head, the Executive Dean, the divisional deans and assistant and associate deans of the College, the Executive Vice President and Provost, and the President.

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the tenure initiating unit excluding the unit head, the Executive Dean, the divisional deans and assistant and associate deans of the College, the Executive Vice President and Provost, and the President.

##### 2. Clinical/Teaching/Practice Faculty

- In the College of Arts and Sciences, the eligible faculty for an appointment (hiring or appointment change from another faculty type) review of a clinical/teaching/practice assistant professor consists of all tenure-track faculty whose tenure resides in the unit and all clinical/teaching/practice faculty whose primary appointment is in the unit, excluding the unit head, the Executive Dean, the divisional deans and assistant and associate deans of the College, the Executive Vice President and Provost, and the President. Alternatively, the TIU may choose to base the initial clinical/teaching/practice assistant professor appointment decision 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.
- The eligible faculty for an appointment (hiring or appointment change from another faculty type) at senior rank (clinical/teaching/practice associate professor or professor) consists of all tenured faculty of equal or higher rank than the position requested whose tenure resides in the unit, and all non-probationary clinical/teaching/practice faculty of equal or higher rank than the position requested whose primary appointment is in the unit, excluding the unit head, the Executive Dean, the divisional deans and assistant and associate deans of the College, the Executive Vice President and Provost, and the President.

##### Reappointment, Contract Renewal, and Promotion Reviews

- The eligible faculty for reappointment, contract renewal, and promotion reviews of clinical/teaching/practice assistant professors consists of all tenured associate professors and professors whose tenure resides in the unit and all non-probationary clinical/teaching/practice associate professors and professors whose primary appointment is in the unit, excluding the

unit head, the Executive Dean, the divisional deans and assistant and associate deans of the College, the Executive Vice President and Provost, and the President.

- The eligible faculty for the reappointment, contract renewal, and promotion reviews of clinical/teaching/practice associate professors, and the reappointment and contract renewal reviews of clinical/teaching/practice professors consists of all tenured professors whose tenure resides in the unit and all clinical/teaching/practice professors of higher rank than the candidate whose primary appointment is in the unit, excluding the unit head, the Executive Dean, the divisional deans and assistant and associate deans of the College, the Executive Vice President and Provost, and the President.

### **3. Research Faculty**

In the College of Arts and Sciences, the eligible faculty for appointment reviews of research faculty consists of all tenure track faculty whose tenure resides in the various departments and schools that make up the College, all clinical faculty whose primary appointment is in each unit, and all research faculty whose primary appointment is in each unit.

The eligible faculty for reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the unit, all non-probationary clinical faculty of higher rank than the candidate whose primary appointment is in the unit, and all non-probationary research faculty whose primary appointment is in the unit excluding the unit head, the Executive Dean, the divisional deans, and assistant and associate deans of the College, the Executive Vice President and Provost, and the President.

### **4. Conflict of Interest**

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

### **5. 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 Committee**

All departments and schools within the College of Arts and Sciences may have a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee is formed using rules and procedures defined by the department or school.

When considering cases involving clinical faculty the Promotion and Tenure Committee may be augmented by non-probationary clinical faculty members, as defined by unit rules and procedures.

When considering cases involving research faculty the Promotion and Tenure Committee may be augmented by non-probationary clinical faculty members and/or non-probationary research faculty members as defined by unit rules and procedures.

### **C. Quorum**

Each department and school in the College of Arts and Sciences shall define a quorum that is required to discuss and vote on all personnel decisions. The College recommends that the quorum be set as two thirds of the eligible faculty not on an approved leave of absence. 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 the Committee of the Eligible Faculty**

In all votes taken on personnel matters within the departments and schools 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**

The departments and schools of the College of Arts and Sciences shall each define the minimum number of votes required for a positive recommendation for appointment. The College recommends that a minimum of two-thirds of the votes cast by eligible faculty members be used for a positive recommendation for appointment.

#### **2. Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**

The departments and schools in the College of Arts and Sciences shall each define the minimum number of votes required for a positive recommendation for reappointment, promotion and tenure, promotion, and contract renewal. 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.

## **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. Types of faculty appointments in the college include tenure-track faculty, research faculty, clinical faculty, and associated faculty, which can include visiting faculty, lecturers, and adjunct faculty.

## 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 department/school 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 outside of the college.

- 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. The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. 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 department's eligible faculty, the department chair, the Executive 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 (without tenure).** 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 his or her 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 his or her field and institution.

## 2. Regional Faculty Appointments

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

## 3. Clinical/Teaching/Practice Faculty

Appointment of clinical/teaching/practice faculty entails a three-, four- or five-year appointment. The initial contract is probationary, with reappointment considered annually. The college recommends that the probationary contract be five years in length. Tenure is not granted to clinical/teaching/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. For faculty in their second and subsequent appointment terms, the clinical/teaching/practice faculty member may be reappointed for an additional three, four, or five years at the discretion of the department chair/school director. 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). 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/practice faculty must describe the governance rights to be extended to its clinical/teaching/practice faculty.

**Instructor of Clinical/Teaching/Practice [TIU NAME]**. Appointment is normally made at the rank of instructor of clinical/teaching/practice 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 is limited to a four-year contract and may be limited to a shorter time at the discretion of the unit. In such cases, if the instructor has not completed requirements for promotion to the rank of assistant professor by the end of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

**Assistant Professor of Clinical/Teaching/Practice [TIU NAME]**. 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 professor of clinical/teaching/practice. Evidence of ability to teach is highly desirable.

**Associate Professor of Clinical/Teaching/Practice [TIU NAME] and Professor of Clinical/Teaching/Practice [TIU NAME]**. Appointment at the rank of associate professor of clinical/teaching/practice or professor of clinical/teaching/practice 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 department or school's criteria—in teaching, professional practice and other service—for promotion to the rank. Appointment at the rank of associate professor of clinical/teaching/practice 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 professor of clinical/teaching/practice requires production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

#### 4. 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 (<http://trustees.osu.edu/university/facultyrules>). The primary duty of research faculty is to conduct research.

The minimum requirements for appointment as a *research assistant professor* is 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 department or school 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.

Tenure-track and tenured faculty may transfer from the tenure track to the research faculty if appropriate to the individual's circumstances, departmental and College needs, and funding for the salary is identified. The request for transfer must be initiated by the tenure-track 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 research faculty, tenure is relinquished though the rank is retained. The department chair/school director, the Executive Dean of the College, and the Executive Vice President and Provost must approve all transfers. Transfers from the research faculty to the tenure track are not permitted. However, research faculty may apply for tenure-track positions and compete in regular national searches for such positions.

## 5. 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 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 rank is determined by applying the criteria for appointment of tenure track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure track faculty.

### 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. 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.

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

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.

## 6. 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

See Volume 1 in the Office of Academic Affairs [Policies and Procedures Handbook](http://oaa.osu.edu/leaders/handbook/) (<http://oaa.osu.edu/leaders/handbook/>) on the following topics:

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

#### 1. Tenure Track Faculty – Columbus Campus

In the case of Columbus campus-based faculty, the Executive 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. A national search is required unless the Office of Academic Affairs approves an exception to this policy. Search procedures must be consistent with the university policies set forth in the most recent update of *A Guide to Effective Searches*, [www.hr.osu.edu/hrpubs/guidesearches.pdf](http://www.hr.osu.edu/hrpubs/guidesearches.pdf).

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

- Appoint a Diversity Representative whose responsibility is to ensure as broad an applicant pool as possible consistent with department needs and standards and to review procedures to ensure that they are fair.
- Develop a search announcement for internal posting in the university job postings through the Office of Human Resources Employment Services ([www.hr.osu.edu/](http://www.hr.osu.edu/)) and external advertising, subject to the department chair's and divisional dean's approvals.

- Develop and implement a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print (as opposed to on-line) advertisement appears in a location likely to be read by qualified potential applicants. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally circulated professional journal.
- Screen applications and letters of recommendation and present to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. The search committee may, with the consent of its faculty, invite top candidates to an on-campus interview. If the faculty does not agree, the department chair in consultation with the faculty and the divisional dean determines the appropriate next steps (solicit new applications, review other applications already received, delay or cancel the search).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee, graduate students, and the department chair. In addition, all candidates make a presentation to the faculty and graduate students on their research and provide evidence of their ability to teach. The latter could be an actual class or a mock instructional situation or some other opportunity that allows an assessment of the candidate's teaching abilities. All candidates interviewing for a particular position must follow the same interview format. TIUs have full latitude to structure interviews, but the interviews must provide sufficient opportunities to assess the candidates' abilities to teach and conduct research. While on campus, candidates for tenure-track faculty positions must be interviewed by the Executive Dean, a divisional dean, or their designee.

At least one of the candidates invited to campus must contribute to increasing the diversity of the unit. If the search committee judges that in the pool of candidates there is no qualified person who can contribute to the diversity of the TIU, it will explain at a meeting of the faculty its efforts to attract a diverse pool of applicants and will describe the pool of applicants and the pool of finalists before asking the faculty to vote on inviting the finalists to campus for an interview. Vigorous efforts to ensure a diverse pool of highly qualified candidates are required.

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 to the chair or director. In the event that more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. At that time, terms of the hire will be discussed, including salary and other features of the recruitment; the divisional deans 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 department or school 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.

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs. The university does not grant tenure in the absence of permanent residency status. The department will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

Centers and institutes within the College are expected to participate in the hiring of faculty who might be affiliated with those centers. TIUs are encouraged to invite representatives from the center to participate in all aspects of the search process, including membership 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. Tenure Track Faculty – Regional Campus**

For the hiring of regional campus-based faculty, the dean/director of the regional campus, in consultation with the College of Arts and Sciences Executive Dean and divisional deans and the relevant department chair or school director, will authorize a search. 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 department chair to reach agreement on the description before the search begins. The regional campus search committee must include at least one representative from the department.

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

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

Searches for clinical/teaching/practice faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview will address issues in clinical, teaching, practice or professional teaching practice rather than scholarship, and exceptions to a national search require approval only by the executive dean of the college.

## **4. Research Faculty**

Searches for research faculty generally proceed in the same manner as for tenure track faculty, with the exception that during the on-campus interview only the candidate's research credentials are evaluated for appointment consideration, and exception to a national search only requires approval by the executive dean of the college.

## **5. Transfer**

Tenure track faculty may transfer to clinical or research faculty if appropriate circumstances exist. Tenure is lost upon transfer. Transfers must be approved by the department chair, the Executive Dean, and the Executive Vice President and Provost.

The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed.

Transfers from the clinical faculty and from the research faculty to the tenure track are not permitted. Clinical faculty members and research faculty members may apply for tenure track positions and compete in regular national searches for such positions.

## **6. Associated Faculty**

Procedures for appointments of associated faculty are established at the TIU level. University Rule 3335-6-08 (D) states that decisions regarding renewal of members of the associated faculty are made in accordance with criteria and procedures of the appointing instructional unit and in accordance with university policies relative to associated faculty positions. The appointment, review, and reappointment of all compensated associated faculty is decided by the department chair in consultation with appropriate departmental governance committees.

Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. The proposal is considered at a regular departmental faculty meeting and if approved by the faculty, the department chair 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.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure track faculty (see Appointment Criteria above), with the exception that the review does not proceed to the College level if the department chair's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

## **7. 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 department faculty member may propose a 0% FTE (courtesy) appointment for a faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to this department justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the department chair extends an offer of appointment. The department chair reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular departmental faculty meeting.

## **V. ANNUAL REVIEW PROCEDURES**

The departments within the College of Arts and Sciences follow the requirements for annual reviews as set forth in the Faculty Annual Review Policy

(<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).

The annual reviews of every College of Arts and Sciences faculty member are based on expected performance in teaching, research, and service as set forth in the department's guidelines on faculty duties and responsibilities, on any additional assignments and goals specific to the individual, and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material must be submitted to the department chair using due dates established within each department.

The department chair is required (per Faculty Rule 3335-3-35 (<http://trustees.osu.edu/rules/universityrules/chapter-3335-3-administration.html>) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04 (<http://trustees.osu.edu/rules/university-rules/chapter-3335-5faculty-governance-and-committees.html>) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

Each year each tenured faculty member will provide his or her chair with a current curriculum vita, an annual report summarizing recent professional activities, and evidence of teaching effectiveness, including student evaluations and peer reviews by tenured members of the faculty at equal or higher rank. Chairs will review these documents and other evidence as may be required, including consultation, as necessary, with appropriate faculty. They will use all of this information as the basis for an annual performance review of each tenured member in their unit. Chairs will provide each tenured faculty member with written feedback regarding his or her performance and future plans. This review will enable chairs to highlight performance problems where they exist and to assist faculty in carrying out their professional plans. Chairs must offer a tenured faculty member a scheduled opportunity to discuss the review, and the faculty member may respond in writing to the chair's performance evaluation.

#### **A. Probationary 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 her or his performance from the department chair or school director, with sufficient detail for meaningful feedback.

##### **1. First, Second, Third and Fifth Year Review**

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 chair or director of the TIU will notify the divisional dean and Executive Dean of this decision. If the TIU recommends against renewal, the Executive Dean, in consultation with the divisional dean, will make the final decision about the appointment on the basis of the TIU's assessment of the candidate's research, teaching, and service, 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 Executive 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 exception that external evaluations are optional and the executive dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment. External evaluations are only solicited when either the department chair or the eligible faculty determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's 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 forwards a record of the vote and a written performance review to the department chair. The department chair 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 department chair or school director. At the conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04, <http://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-theuniversity-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) is followed and the case is forwarded to the College for review, regardless of whether the department chair recommends renewal or nonrenewal. Renewal of the appointment of a probationary faculty member for the fifth year requires the approval of the divisional dean, who serves as the Executive Dean's designee for the review. 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 Executive Dean, in consultation with the divisional dean, will make the final decision on non-reappointment.

## 3. Probationary Faculty – Regional Campus

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

## 4. Exclusion of Time from Probationary Period

Faculty Rule 3335-6-03 (D), <http://trustees.osu.edu/rules/university-rules/chapter-3335-6-rulesof-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-andtenure.html> sets forth the conditions under which a probationary tenure track faculty member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs *Policies and Procedures Handbook*, <http://oaa.osu.edu/leaders/handbook/>.

## **B. Tenured Faculty**

Associate professors are reviewed annually by the full professors in the department, who submit a written performance review to the department chair along with comments on the faculty member's progress toward promotion. The department chair conducts an independent assessment; meets with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the department chair. The department chair meets with the faculty member to discuss his or her performance and future plans and goals, and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

## **C. Tenured Faculty – Regional Campus**

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

## **D. Clinical/Teaching/Practice Faculty**

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

In the penultimate contract year of a clinical/teaching/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. Departments and schools 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**

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. Departments and schools 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.

## **VI. MERIT SALARY INCREASES AND OTHER REWARDS**

### **A. Criteria**

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 mere quantitative contributions in each of the three areas of faculty activity.

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

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

Meritorious performance in teaching, research, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with highquality 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 for an annual review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

### **B. Procedures**

The department chair or school director recommends annual salary increases and other performance rewards to the divisional dean, who may modify these recommendations. In formulating recommendations, the chair or director consults with the appropriate department or school committee as described in each unit's APT document. As a general approach to formulating salary recommendations, the department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate.

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

### **C. Documentation**

Probationary tenure-track faculty must follow the promotion and tenure dossier outline prepared by the Office of Academic Affairs to record their performance for both annual reviews and salary documentation. The annual performance review of every faculty member requires that all documentation described below, including the two summary documents, be submitted to the department chair no later than the first Friday of the spring semester.

- updated CV, which will be made available to all faculty in an accessible place
- updated Office of Academic Affairs dossier outline, Volume 3, <http://oaa.osu.edu/leaders/handbook/>

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

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

The time period covered by the documentation described below is the previous 12 months. The total time period normally used for the evaluation is the previous three years with documentation for previous years available from past reviews.

#### **1. Teaching**

To evaluate teaching the following evidence is typically considered: (a) cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class taught; (b) peer evaluation of teaching reports as required by the department's peer evaluation of teaching program; (c) copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed. An accepted but unpublished work submitted for consideration in a given annual review may not be resubmitted after publication for consideration in a future annual review; (d) evidence for national reputation for teaching, such as awards, conference invitations and teaching-related presentations; and (e) other relevant documentation of teaching as appropriate.

#### **2. Research**

To evaluate research contributions the following evidence is typically considered: (a) copies of all scholarly books or papers published or accepted for publication. Books or papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the book or paper has been unequivocally accepted and is in final form with no further revisions needed; (b) documentation of grants and contracts received; (c) documentation of creative works

and performances and relevant reviews; (d) other relevant documentation of research/scholarship/creative activity as appropriate.

### **3. Service**

To document service contributions, any available documentation of the quality of service that enhances the list of service activities in the dossier should be submitted.

## **VII. REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION**

Faculty Rule 3335-6-02 (<http://trustees.osu.edu/university/facultyrules>) 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.*

The purposes of the College-level review 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 Executive Dean may make a recommendation that is contrary to the recommendation of the TIU.

### **A. Criteria**

#### **1. Promotion to associate professor with tenure**

Promotion to associate professor with tenure in the College of Arts and Sciences requires excellence in both scholarship and teaching, where scholarship is defined as research, scholarly and/or creative work. The promise of excellence in service is desirable.

Excellence in scholarship 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 scholarship and/or creative activity and excellence in teaching and service will continue needs to be established. The claim that retention of the candidate will improve the overall quality and standing of the unit needs to be supported.

Excellence in teaching, research and/or creative activity, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics (<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>).

## **2. Promotion to professor**

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

Excellence in scholarship and/or creative activity 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 scholar 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.

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

## **3. Regional Campus Faculty**

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the departments and schools within the College of Arts and Sciences will give greater emphasis to the quality of teaching and service relative to research and/or creative activity. Recognizing that the

character and quantity of research and/or creative activity by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the department or school nevertheless expects regional campus faculty to establish a program of high-quality scholarly and/or creative activity as a fundamental requirement for promotion and tenure or promotion.

#### 4. Clinical/Teaching/Practice Faculty

- a) **Promotion to assistant professor of clinical/teaching/practice** in 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 professor of clinical/teaching/practice** in 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 professor of clinical/teaching/practice are similar to those for promotion to associate professor with tenure and are established by the TIU. If scholarship activity is required, this must be noted.
- c) **Promotion to professor of clinical/teaching/practice** in 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.

#### 5. Research Faculty

- a) **Promotion to research associate professor** in 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** in 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 or full professor level will demonstrate the same accomplishments in research and service as persons promoted within the university.

## B. Procedures

### 1. Candidate Responsibilities

Candidates for promotion and tenure or promotion within the College of Arts and Sciences are responsible for submitting a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. 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.

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see External Evaluations below.)

### 2. College of Arts and Sciences Promotion and Tenure Committee Responsibilities

- a) **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, will be appointed by the three divisional deans, after consultation with the heads of divisional units. These panels will be composed of between 6-10 tenured, full 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 will chair and be an ex-officio member of the committee, no administrative appointments are eligible to serve as committee members.
- b) **When a candidate holds appointments in more than one division of the College**, the Executive Dean, in consultation with the involved divisional deans, will appoint a subcommittee from the members of the divisional panels to conduct the review. The divisional dean of the TIU division will chair the meeting of the subcommittee assigned to evaluate the candidate's materials.
- c) **Once the panels are constituted**, divisional deans will appoint a Procedures Oversight Designee (POD) and at least one primary reader and one secondary reader for each case from their divisional units. It is expected that all panel members have examined all dossiers being discussed by that panel. 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.
- d) **The panels 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: Criteria and Procedures document.
- e) **Once materials are submitted to the College for review**, with the exception of items covered in (g) and (h) below, no further consultation with TIU heads or committees on



substantive matters should take place. This assures that the levels of review are independent.

- f) **Any panel member from a candidate's TIU will be ineligible to participate** in *any* discussion of the case, including procedures, policies, or culture of the TIU. Only the dossier material should be discussed and evaluated.
- g) **Should questions arise with respect to procedural errors** (those that reasonably could have affected the outcome), they should be addressed before the review continues. The 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.
- h) **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 divisional review panel may return the case to the TIU.
- i) **The appropriate divisional dean will preside over the relevant panel's discussion** of each case. The criteria to be applied are outlined above and require excellence in scholarship, teaching, and service. The divisional dean will be responsible for preparing the written report of the panel's assessment and vote. Only yes and no votes on the recommendation to tenure and/or promote candidates are allowable; abstentions are not allowed among panel members.
- j) **After the divisional review panels complete their work**, the divisional deans shall advise the Executive Dean on tenure and promotion for each candidate. Following that consultation, the Executive Dean shall make a final recommendation in writing to the Provost.
- k) **Once the Executive Dean completes his or her letter to the Provost**, the Executive Dean will inform the candidate and the TIU head of the completion of the College-level review and of the availability of the reports. They will be provided with copies of those reports. The university rules and OAA guidelines regarding the comments process will then be followed.
- l) **When a promotion and tenure decision is negative**, the Executive Dean must also advise the candidate of his or her right to appeal and also of his or her final date of employment under the seven-year rule (if applicable).
- m) **Fourth-year reviews will follow the above procedures with one exception**. The final decision with respect to reappointment will rest with the Executive Dean in consultation with the divisional dean. There is no comments process following the final decision.

### 3. Members of the College of Arts and Sciences Faculty

At the level of departments and schools within the College of Arts and Sciences, the responsibilities of the members of the eligible faculty during promotion and tenure reviews are as follows:

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

### 4. College of Arts and Sciences Unit Heads

The responsibilities of department chairs and school directors in the College of Arts and Sciences during promotion and tenure reviews are as follows:

- a) **Where relevant, to verify the prospective candidate's residency status.** Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by the unit.
- b) **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. All potential external evaluators must be approved by the College through the appropriate divisional dean. (Also see External Evaluations below.)
- c) **To make adequate copies of each candidate's dossier** available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- d) **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.
- e) **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.
- f) **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.
- g) **To meet with the eligible faculty** to explain any recommendations contrary to the recommendation of the committee.
- h) **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 ten 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 he or she expects to submit comments.

- i) **To provide a written response** to any candidate comments that warrants response for inclusion in the dossier.
- j) **To forward the completed dossier to the College office by that office's deadline**, except in the case of associated faculty for whom the department chair or school director recommends against promotion. A negative recommendation by the unit head is final in such cases.
- k) **To receive the Promotion and Tenure Committee's written evaluation** and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the unit head's independent written evaluation and recommendation, to the head of the other tenure initiating unit by the date requested.

## 5. Procedures for Regional Campus Faculty

Regional campus faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus dean/director. The regional campus review focuses on teaching and service.

The regional campus dean/director forwards the written evaluation and recommendation of the regional campus review to the department chair or school director, from which point the review follows the procedures described for the Columbus campus faculty.

## 6. External Evaluations

External evaluations of scholarship are obtained for all promotion reviews. These include all tenure track promotion and tenure or promotion reviews, all research contract renewal and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of research and scholarly activity are not obtained for clinical faculty members unless the faculty member has been involved in a significant amount of research. The decision to seek external evaluations for a clinical faculty member will be made by the department chair or school director after consulting with the candidate and the chair of the Promotion and Tenure Committee.

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

- a) **Is written by a person highly qualified to judge** the candidate's research and/or creative activity (or other performance, if relevant) who can give an "arms' length" evaluation of the research record and is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. The department will only solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking

promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

- b) **Provides sufficient analysis** of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an evaluator on the merits of the case.

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

As described above, a list of potential evaluators is assembled by the TIU's Promotion and Tenure Committee, the unit head and the candidate. Faculty Rule 3335-6-04 (<http://trustees.osu.edu/university/facultyrules>) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor the College requires that the dossier contain letters from evaluators suggested by the candidate. All potential evaluators must be approved by the College through the appropriate divisional dean.

The department follows the Office of Academic Affairs suggested format, provided at <http://oaa.osu.edu/leaders/handbook/sampledocuments.html>, for letters requesting external evaluations from approved potential evaluators.

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 unit 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. If concerns arise about any of the letters received, these concerns may be addressed in the department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

### **C. Documentation**

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

The complete dossier, including the documentation of teaching, is forwarded to the College of Arts and Sciences when the review moves beyond the department or school. The documentation of research and

service noted below is for use during the TIU review only, unless reviewers at the College and university levels specifically request it.

- Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.
- Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

### **1. Teaching**

For the time period since the last promotion or the last five years, whichever is less:

- cumulative SEI reports or equivalent end-of-course assessments (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class
- peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details provided in Section X of this document)
- copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed
- teaching activities as listed in the core dossier including:
  - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
  - mentoring postdoctoral scholars and researchers
  - extension and continuing education instruction
  - involvement in curriculum development
  - awards and formal recognition of teaching
  - presentations on pedagogy and teaching at national and international conferences
  - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate, including documentation of national recognition of teaching excellence.

### **2. Research**

For the time period since the date of hire for probationary faculty and since the last promotion for tenured or non-probationary faculty:

- Copies of all books, articles, and scholarly papers, singly or collaboratively authored, published or accepted for publication, or, where appropriate, recordings, videotape, films, and works in electronic or other media, singly or collaboratively produced. Books and papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the book or paper has been unequivocally accepted and is in final form, with no further revisions needed.
- documentation of grants and contracts received

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

### 3. Service

For the time period since the date of hire for probationary faculty and since the last promotion for tenured or non-probationary faculty:

- service activities as listed in the core dossier including:
  - involvement with professional journals and professional societies
  - consultation activity with industry, education, or government
  - clinical services
  - administrative service to department or school
  - administrative service to College
  - administrative service to university and Student Life
  - advising to student groups and organizations
  - awards and prizes for service to profession, university, or department
- any available documentation (e.g. letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier

## VIII. APPEALS

The procedures for appeals are outlined in Faculty Rules 3335-5-05 and 3335-6-05.

Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-theuniversity-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (<http://trustees.osu.edu/rules/university-rules/chapter3335-5-faculty-governance-and-committees.html>). 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.

## IX. SEVENTH-YEAR REVIEWS

Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-theuniversity-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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.

## **X. 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.

### **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 required in every course offered in the departments and schools within the College of Arts and Sciences. Faculty should encourage a high completion rate by explaining to the class the significance of the evaluation.

Faculty are also encouraged to use in-class discursive evaluations of teaching. Such evaluations should be administered 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 department or school 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 department or school will establish procedures for peer evaluation of teaching that are appropriate to its size and needs. The department chair or school director oversees the unit's peer evaluation of teaching process.

The following minimum guidelines should be followed:

#### Probationary faculty

- The teaching of probationary tenure track and clinical 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.
- Peer evaluations of teaching for probationary faculty are comprehensive and include, in addition to classroom visitation, 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. In addition to preparing a written report for the faculty member's file, the reviewer should meet with the faculty member following the classroom visitation for a more informal consultation about his or her 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 department chair or school director, 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.

#### Tenured and non-probationary faculty

- The teaching of tenured associate professors and non-probationary associate professors-clinical 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 full 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 professors-clinical 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.

#### Additional peer reviews of teaching

- The department chair may request peer review of the teaching of any faculty member whom the chair judges 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 department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the University Center for the Advancement of Teaching ([www.ucat.osu.edu](http://www.ucat.osu.edu)).

## **XI. REVISION AND AMENDMENT PROCEDURES**

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 his or her appointment or reappointment, the Executive 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 Executive Dean, any divisional dean, any ASC or Division Committee, or any member of the regular faculty may propose amendments. Revisions and amendments shall be adopted after consultation with the divisional deans and the Faculty Advisory Council. The Executive Dean will then forward the revised Appointments, Promotion, and Tenure document to the Office of Academic Affairs.