

**APPOINTMENTS,  
PROMOTION AND TENURE:  
CRITERIA AND PROCEDURES**

**College of Education and  
Human Ecology**

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## I. Preamble

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

Should those rules and policies change, the college will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every five years on the appointment or reappointment of the dean.

The Associate Dean of Faculty Affairs will meet with the College Council or its designee committee to review college and TIU personnel guidelines and procedures and, where warranted, to make recommendations for changes in the college APT document.

This document must be approved by a majority vote of the tenured and tenure-track faculty, the Dean of the College of Education and Human Ecology, and the Office of Academic Affairs before it may be implemented. It sets forth the college's mission and, in the context of that mission and the mission 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 delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to college mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](#) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule [3335-6-02](#) and other standards specific to this college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the University's [policy on equal opportunity](#).

The College of Education and Human Ecology is comprised of three academic units, and each is a separate tenure initiating unit (TIU). These academic units are:

- Department of Educational Studies (ES)
- Department of Teaching and Learning (T&L)
- Department of Human Sciences (HS)

Following guidelines, rules and policies from the Office of Academic Affairs and from the College, each academic unit generates its own Appointments, Promotion and Tenure Criteria and Procedures (APT) document.

## **II. College Mission, Vision and Core Values**

The Ohio State University is among the world's truly great universities—advancing the well-being of the people of Ohio and the global community through the creation and dissemination of knowledge. Four core elements are critical components in terms of achieving the university's goals:

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

The College of Education and Human Ecology defines its mission within those guidelines and with the intent of continuing its position nationally and internationally as one of the premiere colleges of its kind.

### **Mission**

The mission of the College of Education and Human Ecology is consistent with the land-grant mission to build upon a tradition of excellence in promoting outstanding teaching, research, and service/engagement that significantly and positively impacts individuals, families, schools and consumers within our global communities. Research informs our teaching and service/community engagement activities linking discovery, creativity, and practice, and is itself a specialized form of teaching that guides students and faculty in their search for new knowledge. Outstanding teaching is expected and highly valued in this college.

The undergraduate mission, centered on education and other applied human sciences, focuses on building and maintaining high-quality undergraduate majors that prepare students for their selected professions. The graduate mission is focused upon achieving national and international distinction in research and training for each of the specialty areas offered by the college. The service/community engagement and extension mission is informed by our own and other peer-reviewed research.

### **Vision**

The College of Education and Human Ecology seeks to be a preeminent scholarly community. By recruiting and retaining the best faculty and staff, and through an innovative and challenging curriculum, we will offer the students in our college an unparalleled academic experience that equips them to serve both local and national communities with dignity and integrity.

### **Core Values**

The college derives its mission, vision, core values and practices from Ohio State's Strategic Plan—Time and Change: Enable, Empower and Inspire. The College further derives its mission and vision from a set of five core college values that were voted on by faculty and staff in EHE. These

values influence college decisions as they relate to faculty, staff, and student appointments and reviews, policy formation and implementation, resource allocation, and overall decision making.

- *Excellence* in transformative research, teaching, and service that impacts the lives of our students and community
- *Integrity* in ethical behavior and accountability in our actions while demonstrating respect in the absence of agreement
- *Diversity, Equity and Inclusion* in cultivating a College reflective of the communities we serve in terms of representation, language, action, and behavior
- *Innovation* in a continuous process of discovery that is solution-based
- *Internationalization* in developing a climate that builds a global community and perspective

In addition to these core values, collegiality, civility and mutual respect are cross cutting themes in EHE. The College supports diverse beliefs and the free exchange of ideas and opinion and expects that faculty, staff, and students promote these values and apply them in a professional manner in all academic endeavors and interactions within and representing the College.

Taken together, the College of EHE shall implement the mission, vision and core values through the practice of collaborative and interdisciplinary work across perspectives and areas of expertise. Our focus shall be on solving the problems that plague so many children, families, schools and communities. We do this through our focus on five key areas: early childhood education and development, urban and rural education, health and economic vitality, STEAM education, and internationalization and global engagement. We shall bring to bear the promises of education sciences and the human sciences for creating a better life for all. Our aim is to foster excellence in all areas of effort and to move this outstanding college to greater national eminence.

### **III. Definitions**

#### **A. Committee of Eligible Faculty**

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

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

#### **1. Tenure-Track Faculty**

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

- For an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty in the TIU.
- For appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position

requested.

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

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

## **2. Clinical Faculty**

### **Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of a clinical assistant professor, the eligible faculty consists of all tenure-track faculty and all Clinical Faculty in the TIU.
- For appointment (hiring) at senior rank (clinical associate professor or professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested, and all non-probationary Clinical Faculty of equal or higher rank than the position requested.

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

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

## **3. Conflict of Interest**

According to guidelines established by the Office of Academic Affairs, 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 or success for his or her own success, has a close professional relationship with the candidate (dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion or reappointment review of that candidate. TIUs within the College may establish Conflict of Interest policies specific to the areas of research, teaching and service within their TIU as long as they incorporate the guidelines established by OAA and the College.

#### **4. Minimum Composition**

In the event that a TIU does not have at least three eligible faculty members who can undertake a review, the TIU head, after consulting with the college dean, will appoint a faculty member from another TIU within the college.

#### **B. Promotion and Tenure Committees**

##### **TIU**

Each TIU will establish a promotion and tenure committee consistent with guidelines and policies established by the Office of Academic Affairs and the College. The TIU Promotion and Tenure Committee assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. When considering cases involving clinical faculty the Promotion and Tenure Committee may be augmented by two non-probationary clinical faculty members at the discretion of the TIU chair.

##### **College**

The college has a Promotion and Tenure Committee that reviews the promotion, tenure and reappointment or renewal of college faculty and provides an evaluative written assessment to the dean. The Committee's assessment is advisory to the dean. The college committee provides a vote regarding promotion and/or tenure and its findings as to whether all earlier review processes met written university, college, and tenure initiating units' procedures. A two-thirds quorum is required for the committee to discuss and vote on personnel decisions.

The college promotion and tenure committee consists of twelve tenured faculty; four (4) faculty from each TIU. Of the four faculty from each TIU, at least three must be professors. The dean appoints faculty to the college promotion and tenure committee based on recommendations from TIU chairs. Members shall not participate in the review of cases from their own TIUs. TIU procedures oversight designees (P.O.D.'s) may also be consulted with regard to processes employed in TIU reviews. The associate dean for faculty affairs chairs the college promotion and tenure committee, but does not vote.

#### **C. Quorum**

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the TIU chair has approved an off-campus assignment. Faculty members who recuse themselves because of a conflict of interest are not counted when determining quorum. The quorum required to discuss and vote on all personnel decisions within a TIU is determined by each TIU.

#### **D. Recommendation from the Committee of Eligible Faculty**

In all votes taken on personnel matters only "yes" and "no" votes are counted. Abstentions are not votes. Faculty members are strongly encouraged to consider whether they are participating fully in the review process when abstaining from a vote on a personnel matter.



Absentee ballots and proxy votes are not permitted, but participating fully in discussions and voting via remote two-way electronic connection are allowed.

### **1. Appointment**

The portion of positive votes required for a candidate to receive a positive recommendation from the eligible faculty for appointment is determined by each TIU.

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

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is determined by each TIU and defined in its APT document.

## **IV. Appointments**

### **A. Criteria**

The College is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the TIU and advance the mission of the College. Important considerations include the individual's record to date in teaching, scholarship and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and students in a way that will enhance their academic work, enhance the research and teaching mission of the academic unit and the college; and attract other outstanding faculty and students to the TIU. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the TIU. The search is either cancelled or continued, as appropriate to the circumstances, as determined by the Dean. Faculty appointments are recommended by TIU chairs to the dean along with information about the search and faculty support for the appointment. Appointments at the senior rank require OAA approval. The dean signs all letters of offer.

For each type of faculty appointment (tenure-track faculty, associated faculty, courtesy appointment for faculty, and if desired, Clinical Faculty, research faculty, or tenure track faculty at regional campuses), a TIU's APT document must describe: (1) the unit's criteria for making such an appointment, (2) the evidence to be provided in support of such an appointment, and (3) the unit's procedures for making such an appointment. It is the expectation of the college that a faculty appointment forwarded from a TIU for approval by the college or a courtesy faculty appointment made by a TIU will have been made consistent with that TIU APT document, and other relevant policies, procedures, practices, and standards established by the college, the Rules of the University Faculty, the Office of Academic Affairs, and the Office of Human Resources.

### **1. Tenure-Track Faculty**

**Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The TIU 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 end 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 TIU's eligible faculty, the TIU head, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted. In addition all probationary faculty members have the option to be considered for early promotion.

**Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the TIU and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the TIU's Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged, as it cannot be revoked once granted.

**Associate Professor and Professor.** Appointment offers at the rank of associate professor or professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

Appointment offers at the rank of associate professor or professor require that the individual, at a minimum, meet the TIU's criteria in teaching, scholarship, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the University will not grant tenure in the absence of permanent residency. Offers to foreign nationals require prior consultation with the Office of International Affairs.

## **2. Tenure-track Faculty – Regional Campus**

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

## **3. Clinical Faculty**

Appointment of clinical faculty entails a three year contract. The initial contract is

probationary, with reappointment considered annually. Tenure is not granted to clinical faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the TIU wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. TIUs may determine the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). For more information see Faculty Rule 3335-7 (<https://trustees.osu.edu/university-faculty-rules/3335-7>).

Titles for clinical faculty are specified in each TIU's appointments, promotion, and tenure document.

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

**Clinical Assistant Professor.** An earned master's degree or appropriate credentials demonstrating expertise in their relevant area of study and a minimum of five years of relevant experience in the workplace are the minimum requirements for appointment at the rank of clinical assistant professor. Evidence of teaching effectiveness and knowledge of current research impacting practice within the field of study are desired.

**Clinical Associate Professor and Clinical Professor.** An earned master's degree or appropriate credentials demonstrating expertise in their relevant area of study and a minimum of five years of relevant experience in the workplace are the minimum requirements for appointment at the rank of clinical associate professor or clinical professor. A doctorate or appropriate terminal degree in the field is preferred when hiring at this level. Evidence of the following is also required: current knowledge of research impacting practice with the field of study; ongoing engagement with practitioners in relevant context; sustained high-quality teaching; high-quality and impactful service both within and outside the university. For appointment at clinical professor rank, a candidate should have, in addition to the above, evidence of high-quality and impactful service at local, state, or national level. Appointments at the rank of clinical associate or clinical professor must be approved by the Dean and require prior approval of the Office of Academic Affairs.

#### 4. Associated Faculty

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

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments are rarely compensated. Adjunct faculty appointments are given to individuals who give academic service to the TIU, such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate.

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

**Clinical Instructor of Practice; Clinical Assistant Professor of Practice; Clinical Associate Professor of Practice; Clinical Professor of Practice.** Associated clinical appointments may either be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service to a TIU, for which a faculty title is appropriate. Associated clinical rank is determined by applying the criteria for appointment of Clinical Faculty. Associated Clinical Faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of Clinical Faculty.

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

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

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.** Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointment of tenure-track faculty. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three years at 100% FTE.

## 5. Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule 3335-5-36

(<https://trustees.osu.edu/bylaws-and-rules/3335-5>). Full-time tenure track, clinical/teaching/practice, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the TIU head (regional campus dean for associated faculty on regional campuses) outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and non-probationary clinical/teaching/practice associate professors and professors) will review the application and make a recommendation to the TIU head. The TIU head will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule 3335-05-04, emeritus status will not be considered.

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

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

## **6. Courtesy Appointments for Faculty**

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

## **7. Joint Faculty Appointments**

A joint faculty appointment is defined as one in which a faculty member has a compensated FTE appointment in two or more tenure initiating units. In this case, a memorandum of understanding (MOU) between the units making the joint appointment is developed according to guidelines contained in the Faculty Appointments policy (<http://oaa.osu.edu/assets/files/documents/facultyappointments.pdf>). The TIU chair, with the approval of the dean, will establish memorandums of understanding for appointments in cases where a non-TIU, such as an academic center, provides part of the funding for a faculty appointment. Such MOUs do not require OAA approval.

## **B. Procedures**

See the Faculty Policy on Faculty Recruitment and Selection

([https://oaa.osu.edu/sites/default/files/links\\_files/facultyrecruitment\\_0.pdf](https://oaa.osu.edu/sites/default/files/links_files/facultyrecruitment_0.pdf)) and the Policy on Faculty Appointments ([https://oaa.osu.edu/sites/default/files/links\\_files/facultyappointments\\_0.pdf](https://oaa.osu.edu/sites/default/files/links_files/facultyappointments_0.pdf)) for information on the following topics:

- recruitment of tenure-track, clinical/teaching/practice, 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

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

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

The dean provides approval for a TIU to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The TIU head appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the unit.

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

### The search committee:

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

- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal or other appropriate venue. The University does not grant tenure in the absence of permanent residency ("green card"), and strict U. S.

Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally prominent professional journal or other appropriate venue.

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

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the TIU head; and the dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship and may teach a class. The latter could be an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, according to practice specified in each TIU's APT document, input is sought from the eligible faculty, whether by vote of the eligible faculty following a meeting to discuss perceptions and preferences, or by report from a search committee, which will seek input from the eligible faculty. The faculty vote, if sought, or the report from the search committee will be forwarded to the TIU chair as recommendations.

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. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the TIU head.

Appointments at Senior Rank (Associate Professor or Professor), with or without tenure in the case of Tenure Track faculty, or with prior service credit, require prior approval by the college dean and the Office of Academic Affairs. A draft letter of offer accompanied by the following required documentation should be submitted to the Office of Academic Affairs:

- Candidate's CV
- Five (5) external evaluations from credible writers, not all of whom were suggested by the candidate

- Reviews and recommendations by the:
  - Tenure initiating unit (TIU) promotion & tenure committee
  - TIU chair
  - College dean-(Consultation with the college promotion & tenure committee is at the discretion of the dean).

In the event that more than one candidate achieves the level of support required to extend an offer, the TIU chair recommends to the Dean which candidate to approach first; the Dean decides which candidate to approach first. The details of the offer, including compensation, are determined by the TIU chair after consultation with the dean of the college.

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. TIUs will therefore be cautious in making such appointments and vigilant in assuring that appointees seeks residency status promptly and diligently.

## **2. Tenure-track Faculty – Regional Campus**

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

Candidates are interviewed by, at a minimum, the regional campus dean/director, TIU head, the eligible faculty of the TIU, and regional campus search committee. The regional campus may have additional requirements for the search. A decision to make an offer requires agreement by the TIU head and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the TIU head and the regional campus dean.

## **3. Clinical Faculty**

Searches for Clinical Faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview is on clinical teaching practice rather than scholarship, and exceptions to a national search require approval only by the dean.

The Dean approves the commencement of all clinical faculty searches, clinical faculty position descriptions and related advertisements. Clinical faculty members are engaged primarily in instructional activities, in outreach, and in academic program leadership and support. TIU chairs work with the Dean for approval to open a search. The position will be open for a regular fiscal year (approximately August through April); if unfilled, the position will be closed and reopened upon approval from the dean.

## **4. Transfer from the Tenure-track**

Tenure-track faculty may transfer to a clinical/teaching/practice or research



appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the TIU head, the dean, and the executive vice president and provost.

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

Transfers from a clinical/teaching/practice appointment to the tenure-track are not permitted. Clinical Faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

## **5. Associated Faculty**

The appointment, review, and reappointment of all compensated associated faculty are decided by TIU chairs in consultation with an appropriate TIU committee as described in the TIU's approved APT document.

Appointment of uncompensated adjunct or visiting faculty is governed by procedures as described in the TIU's approved APT document.

Compensated associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued.

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

Lecturer and senior lecturer appointments are made on an annual basis and rarely semester by semester. After the initial appointment, and if the TIU's curricular needs warrant it, a multiple year appointment may be offered.

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 TIU chair's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

## **6. Courtesy Appointments for Faculty**

Each TIU APT document will describe procedures for Courtesy appointments (0% FTE) and their renewal with the TIU.

## **V. Annual Performance and Merit Review Procedures**

The annual performance and merit review of a faculty member is the responsibility of that faculty member's TIU head.

- The review is based on expected performance in teaching, scholarship, and

service as set forth in the TIU's guidelines on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

- Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.
- Annual performance and merit reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment.
- Per Faculty Rule [3335-3-35](#), TIU heads are required to include a reminder in annual review letters that all faculty have the right (per Faculty Rule [3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

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

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

#### **A. Documentation**

For their annual performance and merit review, the college requires faculty members to submit the following documents to their TIU head no later than the final day of autumn semester classes:

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

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. That documentation is described in Section VI of this document.

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

#### **B. Probationary Tenure-track Faculty**

Every probationary tenure-track faculty member must be reviewed annually by procedures described in the TIU's APT document. These procedures must include a review by the chair, who meets with the faculty member to discuss his or her performance and, future

plans and goals. The chair's review may be informed by a review conducted by a faculty promotion and tenure committee, as described in the TIU's APT document. The TIU chair prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. If any part of the responsibilities of the probationary tenure-track faculty member's workload involves teaching, the annual review of probationary tenure-track faculty must include and be informed by a peer evaluation of teaching following procedures described in the TIU's APT document.

If the TIU chair recommends renewal of the appointment, this recommendation is final. The TIU chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The letter should also include specific recommendations for the faculty member's trajectory toward promotion and tenure. At each annual review meeting, the recommendations of the previous year's review letter should be discussed. The faculty member may provide written comments on the review. The TIU chair's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

If the TIU chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-03 [<https://trustees.osu.edu/university-faculty-rules/3335-6>]) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

## **1. Regional Campus Faculty**

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 TIU and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the TIU, the TIU 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.

## **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 dean (not the TIU chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are only solicited when either the TIU chair or the TIU promotion and tenure committee determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or there is reason to believe that the eligible faculty would be capable of evaluating the scholarship without outside input.

The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment. The eligible faculty forwards a record of the vote and a written

performance review to the TIU chair. Regardless of the recommendation, the letter from the Committee of Eligible Faculty to the TIU Chair must include recommendations regarding the faculty member's trajectory toward promotion and tenure.

The TIU chair conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. Regardless of the recommendation, the TIU chair's letter must include recommendations regarding the faculty member's trajectory toward promotion and tenure. At the conclusion of the TIU review, the formal comments process (per Faculty Rule 3335- 6-04 [<https://trustees.osu.edu/university-faculty-rules/3335-6>]) is followed and the case is forwarded to the college for review, regardless of whether the TIU chair recommends renewal or nonrenewal.

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

Faculty Rule 3335-6-03 (D) (<https://trustees.osu.edu/university-faculty-rules/3335-6>) 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 (<https://oaa.osu.edu/policies-and-procedures-handbook>).

### **C. Tenured Faculty**

Each TIU APT document must describe procedures for the annual review of associate professors. These procedures must include a review of teaching (including a peer evaluation of teaching), research, and service, and a written performance review by a faculty committee consisting of professors. The written performance review along with comments on the faculty member's progress toward promotion is submitted to the TIU chair. The TIU 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. Both the faculty committee's written performance review and the TIU chair's written evaluation must include recommendations intended to guide the faculty member toward promotion. The faculty member may provide written comments on the review.

Professors are reviewed annually by the TIU head, who meets with the faculty member to discuss his or her performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence and ongoing outcomes in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by ongoing national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and ongoing outstanding service to the TIU, the university, and their profession, including their support for the professional development of assistant and associate professors.

Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The TIU head (*or designee; see note below*) prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

#### **D. Tenured Faculty – Regional Faculty**

Columbus campus TIUs shall establish annual performance and merit review procedures for their tenured regional campus faculty, whose review is first conducted on the regional campus, with a focus on teaching and service. The review then moves to the TIU and proceeds according to the TIU's stated guidelines. In the event of divergence in performance assessment between the regional campus and the TIU, the TIU head discusses the matter with the regional campus dean/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

#### **E. Clinical Faculty**

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

In the penultimate contract year of a Clinical Faculty member's appointment, the TIU chair must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<https://trustees.osu.edu/university-faculty-rules/3335-6>) must be observed.

TIUs may determine the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). There is no presumption of renewal of contract.

#### **F. Associated Faculty**

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The TIU head, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. The TIU head's recommendation on renewal of the appointment is final. If the recommendation is to renew, the TIU head may extend a multiple year appointment.

Compensated associated faculty members on a multiple year appointment (or hired annually for multiple years) are reviewed annually by the TIU head or designee. The TIU head or designee prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the TIU head will decide whether or not to reappoint. The TIU head's recommendation on reappointment is final.

#### **G. Salary Recommendations**

TIU heads make annual salary recommendations to the dean, who may modify them. The

recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the **preceding 24 months**.

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

Faculty who fail to submit the required documentation (see Section V-A above) for an annual performance and merit review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

## **VI. Promotion and Tenure and Promotion Reviews**

### **A. Criteria**

Faculty Rule [3335-6-02](https://trustees.osu.edu/university-faculty-rules/3335-6) (<https://trustees.osu.edu/university-faculty-rules/3335-6>) provides the following context for promotion and tenure and promotion reviews:

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

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

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

that the recommendation of the unit is not consistent with University, college, and TIU standards, criteria, policies, and rules, the dean may make a recommendation that is contrary to the recommendation of the TIU.

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

### **Teaching**

Each TIU's APT document needs to define what constitutes high quality teaching in its TIU and procedures for the systematic evaluation of teaching. These procedures must include but are not limited to annual peer evaluation of teaching, and student evaluations (including SEI ratings). Other methods of documenting and evaluating teaching include:

- the candidate's self-assessment and statement of plans and goals;
- a summary of the candidate's portfolio on teaching, including documentation of formative evaluation;
- assessment of the success of the candidate's current and former graduate students and post-docs;
- the extent to which pedagogical materials developed by the candidate have been adopted by other faculty;
- the extent to which the candidate is invited to provide expertise on teaching at Ohio State, in professional societies, or at other institutions;
- teaching awards or other recognitions.

The TIU APT document must include procedures for discussion by the committee of eligible faculty of the criteria for high quality teaching.

### **Scholarship**

Each TIU's APT document needs to define what constitutes high quality scholarship within the diverse fields of research within which the faculty in the TIU conduct research.

Definitions of high quality research inherently involve substantive, new contributions to the field and inherently involve a substantive impact on the field. Each TIU's APT documents needs to include procedures for the discussion by the committee of eligible faculty of definitions of high quality scholarship and the criteria for evaluating high quality scholarship. Although definitions and criteria for high quality scholarship may include dissemination of scholarship in high impact, peer reviewed venues, definitions and criteria for high quality scholarship must go beyond places of dissemination and must include interpretation of the substance and rigor of the scholarship and its impact on the field.

### **Service**

Each TIU APT document must describe criteria for the evaluation of service (including internal and external service and outreach) and the weight service has in relation to teaching

and scholarship.

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

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

Promotion to associate professor with tenure in the College of Education and Human Ecology 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. 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 the University, the community, the state and 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, scholarship, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics <https://www.aaup.org/report/statement-professional-ethics>.

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

## **2. Promotion to Professor**

Faculty Rule [3335-6-02](https://trustees.osu.edu/university-faculty-rules/3335-6) (<https://trustees.osu.edu/university-faculty-rules/3335-6>) establishes the following general criteria for promotion to the rank of professor:

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



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

Each TIU APT document needs to describe specific criteria about work applicable especially to senior faculty within the TIU, the college, and university, e.g. doctoral-level advising, university and professional service, and appropriate levels of leadership.

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

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

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

### **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, TIUs will give greater emphasis to the quality of teaching and service relative to scholarship.

Recognizing that the quantity of scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the college nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

### **4. Clinical Faculty**

Each TIU must establish criteria for the promotion of clinical faculty to the ranks of clinical associate professor and clinical professor as described below. Titles for clinical faculty are specified in each TIU's appointments, promotion, and tenure document.

## **Promotion to the rank of Clinical Associate Professor**

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

## **Promotion to the rank of Clinical Professor**

For promotion to the rank of clinical professor, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to the TIU and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

## **B. Procedures**

The College's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule [3335-6-04](https://trustees.osu.edu/university-faculty-rules/3335-6) (<https://trustees.osu.edu/university-faculty-rules/3335-6>) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in [Volume 3](https://oaa.osu.edu/policies-and-procedures-handbook) of the Policies and Procedures Handbook (<https://oaa.osu.edu/policies-and-procedures-handbook>).

### **1. Candidate Responsibilities**

Candidates 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.

Candidates must also submit a copy of the APT under which they wish to be reviewed. Candidates may submit their TIU's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. The APT document must be submitted when the dossier is submitted to the TIU.

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

## **2. Members of the College of Education and Human Ecology Eligible Faculty Responsibilities**

At the level of TIUs within the College of Education and Human Ecology, the responsibilities of the members of the eligible faculty during promotion and tenure reviews are as follows:

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

## **3. College of Education and Human Ecology TIU Chair Responsibilities**

The responsibilities of the TIU chairs in the College of Education and Human Ecology during promotion and tenure reviews are as follows:

- 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 TIU or the college.
- Late Spring Semester: To solicit external evaluations from a list including names suggested by the TIU Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- To solicit an evaluation from a TIU head of any TIU in which the candidate has a joint appointment.
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted (within the constraints of OAA policies, TIUs are encouraged make the dossier available through "electronic" means provided such means are secure).
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. A TIU head will leave the meeting to allow open discussion among the eligible faculty members.
- Mid-Autumn Semester: To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the TIU review process:

- Of the recommendations by the eligible faculty and TIU chair
- Of the availability for review of the written evaluations by the eligible faculty and TIU chair
- Of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the TIU chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the TIU chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the TIU chair recommends against promotion. A negative recommendation by the TIU chair is final in such cases.
- 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 TIU chair's independent written evaluation, to the head of the other tenure initiating unit by the date requested..

#### **4. College of Education and Human Ecology Promotion and Tenure Committee Responsibilities**

- a) The College of Education and Human Ecology Promotion and Tenure Committee is comprised of twelve tenured professors appointed by the Dean (see Section III, B for additional details). 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 associate dean for faculty affairs, who will facilitate the meeting and serve as an ex-officio member of the committee, no administrative appointees are eligible to serve as committee members.
- b) Once the committee is constituted, the associate dean for faculty affairs will appoint a Procedures Oversight Designee (POD) and at least one primary reader and one secondary reader for each case. It is expected that all panel members have examined all OAA Approval dossiers being discussed. A draft of the report outlining the case may be prepared by the primary reader in advance and serve as the basis for the discussion of each case.
- c) The committee 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.
- d) Once materials are submitted to the college for review, with the exception of items covered in (f) and (g) below, no further consultation with TIU heads or committees on substantive matters should take place. This assures that the levels of review are independent.
- e) Any committee 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.

- f) 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.
- g) Should there be significant new information, the record may be amended; however, all parties to the review process must review an amended record. If the information becomes available after a case has left the TIU, the college committee may return the case to the TIU.
- h) The associate dean for faculty affairs will preside over the relevant committee's discussion of each case. The criteria to be applied are outlined above and require excellence in scholarship, teaching, and service. The associate dean for faculty affairs will be responsible for preparing the written report of the committee's assessment and vote. Only "yes" and "no" votes on the recommendation to tenure and/or promote candidates are allowable; abstentions are not allowed among committee members.
- i) After the college committee completes its work, the associate dean for faculty affairs shall advise the dean on tenure and promotion for each candidate. Following that consultation, the dean shall make a final recommendation in writing to the executive vice president and provost.
- j) Once the dean completes his or her letter to the provost, the dean will inform the candidate and the TIU head of the completion of the college-level review and of the availability of the reports. The candidate and TIU head will be provided with copies of those reports. University rules and OAA guidelines regarding the comments process will then be followed.
- k) When a promotion and tenure decision is negative, the dean must advise the candidate of his or her right to appeal and of his or her final date of employment under the seven-year rule (if applicable).
- l) Fourth-year reviews will follow the above procedures with one exception. The final decision with respect to reappointment will rest with the dean. There is no comments process following the final decision.

## **5. Dean's Responsibilities**

The dean will consider the recommendations of the Committee. If the dean decides to deny promotion of a candidate on the Clinical Faculty or the research faculty, that decision is final (Faculty Rules [3335-7-08](#) and [3335-7-36](#)). In all other cases, the dean will recommend, in writing, to the Executive Vice President and Provost, the promotion and/or tenure action to be taken.

## 6. 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 TIU chair, from which point the review follows the procedures described for the Columbus campus faculty.

## 7. External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research faculty promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for faculty members on clinical appointments unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a faculty member on a clinical appointment will be made by the TIU chair after consulting with the candidate and the chair of the eligible faculty.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This TIU will only solicit evaluations from professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.
- Since the TIU cannot control who agrees to write and or the usefulness of the letters received, at least twice as many letters are sought as are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.
- As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the TIU chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule <https://trustees.osu.edu/university-faculty-rules/3335-6> 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.

- TIUs will follow the Office of Academic Affairs suggested format, provided at <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.
- Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the TIU chair, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.
- All solicited external evaluation letters that are received must be included in the dossier unless the Office of Academic Affairs approves exclusion. If concerns arise about any of the letters received, these concerns may be addressed in the TIU's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

## **8. Dossier**

As noted earlier under Candidate Responsibilities (VI B 1), 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.

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

The time period for teaching documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion or the last five years, whichever is less, to present.

The time period for scholarship documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion to present. All scholarship outcomes will be reviewed for increasing independence over time. There should also be an increasing trajectory of significant scholarly outcomes over time.

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion to present.

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

## **VII. Appeals**

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

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

### **VIII. Seventh-Year Reviews**

Faculty Rule 3335-6-05 (B) (<https://trustees.osu.edu/university-faculty-rules/3335-6>) sets forth the conditions of and procedures for a seventh year review for a faculty member denied tenure as a result of a sixth year (mandatory tenure ) review.

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

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

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in the college with the exception of independent studies and research apprenticeships. As SEI evaluations are conducted on-line, the instructor should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation. The college encourages the use of multiple means for student evaluation of teaching.

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

The TIU chairs oversee their unit's peer evaluation of teaching process.

Each TIU must establish a procedure for the regular and systematic peer evaluation of teaching to be approved by the Dean. Note: To the extent possible, peer evaluation should involve senior faculty and a peer reviewer should be of equal or higher rank than the faculty member being reviewed.

The procedure for the regular and systematic peer of teaching needs to incorporate the following responsibilities:

- To review the teaching of probationary tenure- track and clinical faculty at least once per semester during the first two years of service, and at least once per year during the remainder of the probationary period.
- To review the teaching of tenured associate professors and non-probationary clinical associate professors at least once per year, with the goal of assessing teaching at all the levels of instruction (undergraduate, masters, doctoral) to which the faculty member is assigned over a three year period.
- To review the teaching of tenured professors and non-probationary clinical professors at least once every four years;
- To review, upon the TIU chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.



- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits; reviews conducted at the request of the faculty member are considered formative only; the TIU head is informed that the review took place, but the report is given only to the faculty member who requested the review; faculty seeking formative reviews should also seek the services of the [Drake Institute for Teaching and Learning](#).
- Reviews conducted upon the request of the TIU chair or the faculty member focus on the specific aspects of instruction requested by the chair or faculty member.
- Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.
- In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on such issues as the appropriateness of the course design given the goals and level of the course, the quality and effectiveness of the instructional materials and assessment tools, and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer meets with the candidate to give feedback and also submits a written report to the TIU chair, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.
- The effectiveness of the peer teaching evaluation procedures outlined above is strengthened if the TIU develops worksheets for use in evaluating the various aspects of instruction. The Drake Institute for Teaching and Learning (<https://drakeinstitute.osu.edu/>) offers assistance in such endeavors and TIUs are encouraged to make use of this resource.