

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

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**APPOINTMENTS, PROMOTION AND TENURE  
CRITERIA AND PROCEDURES FOR  
THE DEPARTMENT OF EXTENSION**

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## **I. Preamble**

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

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

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

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

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

## **II. Department Mission**

We create opportunities for people to explore how science-based knowledge can improve social, economic and environmental conditions.

## **III. Definitions**

### **A. Promotion and Tenure Committee**

The department has a Promotion and Tenure (P and T) Committee that is responsible for appointment, re-appointment, promotion and tenure, and promotion reviews for tenure track faculty. The P and T Committee is also responsible for appointment, re-appointment and promotion reviews of professional practice track faculty. Elected by all tenure-track faculty in the department using written or a secure electronic voting technology, the P and T Committee consists of nine faculty members at the rank of associate professor or professor. The term of service is three years and reappointment is possible. Staggered terms and broad representation of campus- and county-based faculty are sought as well as representation from each of Ohio State University Extension's four program areas/divisions. Two alternates are also elected annually for a one-year term of service. At the Fall committee meeting, the committee elects a chair and POD for the upcoming review year. The department chair, college dean, college associate deans and assistant deans, provost and president may not be members of the department's P and T Committee. The department chair may attend meetings at which promotion and tenure matters are discussed and may respond to questions but may not vote.

When considering cases involving professional practice faculty the P and T Committee may be augmented by two non-probationary professional practice faculty members.

## **1. Conflict of Interest**

### **Search Committee Conflict of Interest**

A member of a search committee must disclose to the committee and refrain from participation in any of the interviews, meetings, or votes that comprise the search process if the member:

- decides to apply for the position;
- is related to or has a close interpersonal relationship with a candidate;
- has substantive financial ties with 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 extensively with the candidate or is currently collaborating with the candidate.

### **Eligible Faculty Conflict of Interest**

A member of the eligible faculty has a conflict of interest when he/she/they are or have been to the candidate:

- a thesis, dissertation, or postdoctoral advisee/advisor;
- a co-author on more than 50% of the candidate's publications since appointment or last promotion, including pending publications and submissions;
- a collaborator on more than 25% of projects since appointment or last promotion, including current and planned collaborations;
- in a consulting/financial arrangement with the candidate since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services) or is dependent in some way on the candidate's services; or
- in a family relationship such as a spouse, child, sibling, or parent, or other relationship, such as a close personal friendship, that might affect one's judgment or be seen as doing so by a reasonable person familiar with the relationship.

## **2. Minimum Composition**

Only professors on the committee may consider promotion review requests to the rank of professor. If a sufficient number of committee members are not at the rank of professor or the department chair determines a large number of probationary faculty impacts the committee's ability to manage the workload, a supplemental Promotion and Tenure Committee may be formed. If there are not a sufficient number of professors in the department to review candidates, then Extension professors with joint appointment in other TIUs will be asked to fill the committee. No fewer than three members can handle reviews of full professors following APT guidelines. Based on workload, the department chair can appoint a separate supplemental committee to handle applications for a tenure-track position.

In the event that the department does not have at least three eligible faculty members on the P and T Committee who can undertake a review for an appointment or promotion to professor, the chair will appoint a special committee of three faculty members to conduct the review. If the department does not have at least three eligible faculty members who can undertake a review, the chair, after consulting with the dean, will appoint a faculty member from another school or department in the college.

## **B. Quorum**

At least seven members of the P and T Committee must be present and vote yes or no on a case for the vote to be valid. The department chair may select an alternate in the event of an absence of a committee member, and when the potential for more than one abstention exists.

## **C. Recommendation from the P and T Committee**

In all votes taken by the committee, only “yes” and “no” votes are counted. Abstentions are not votes. Absentee ballots and proxy votes are not permitted.

### **1. Appointment**

A positive recommendation for appointment, reappointment, promotion and tenure, promotion, and contract renewal requires that two-thirds of the votes cast are positive.

## **IV. Appointments**

### **A. Criteria**

The department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the department. The search is cancelled or continued as appropriate to the circumstances. Non-faculty Extension educators wishing to apply for a faculty position without a national search must provide evidence of a strong and cohesive program of teaching, research/scholarly/creative works, and service consistent with their appointment as an Educator IV that demonstrates their potential for success as a faculty member.

### **1. Tenure-track Faculty**

Extension emphasizes non-credit instruction, problem solving workshops, and applied research. Criteria for appointment at the rank of assistant professor, associate professor or professor gives relatively greater emphasis at each rank to teaching experience and quality.

**Instructor:** Appointment at the rank of instructor is made only when the offered appointment is that of campus-based assistant professor, but the candidate has not completed requirements for the doctoral degree 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 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 department P and T Committee, the chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted. In addition, all probationary faculty members have the option to be considered for early promotion.

**Assistant Professor:** A minimum requirement for appointment at or promotion to the rank of assistant professor or a higher rank is an earned doctorate or other terminal degree in the relevant field of study or possession of appropriate experience. Evidence of potential for scholarly productivity, high quality teaching, and high-quality service to the department and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the P and T

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. If tenure review has not occurred prior to the sixth year, the faculty member will be informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year. If the sixth-year review is negative, the seventh year is a terminal appointment.

**Associate Professor and Professor:** Appointment at senior rank requires that the individual, at a minimum, meet the TIU's criteria in teaching (including Extension teaching as applicable), research, 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 does not grant tenure in the absence of permanent residency. Offers to foreign nationals require prior consultation with the Office of International Affairs.

## **2. Professional Practice (i.e. Clinical) Faculty**

Appointment of professional practice faculty entails a three- four- or five-year contract. Extension professional practice faculty will normally be campus-based and will have statewide responsibilities. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to professional practice faculty. There is also no presumption that subsequent contracts will be offered regardless of performance. If the department 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](#).

Professional practice faculty members in Extension can be appointed at the assistant, associate, or professor level as long as the individual, at a minimum, meets the department's criteria for teaching, scholarly work, and service at the proposed rank. A terminal degree is the minimum requirement for appointment as a professional practice faculty member.

**Assistant Professor of Professional Practice:** For an appointment as assistant professor of professional practice, a terminal degree and evidence of the ability to secure extramural funding in support of education and training programs and experience in developing and delivering education and outreach programs to clientele is expected. The ability to engage with industry and other stakeholders to identify internships and field experiences for students in non-formal educational settings and facilitating industry involvement with college programs and activities is expected.

**Associate Professor of Professional Practice and Professor of Professional Practice:** Requirements for appointments at the rank of associate professor of professional practice and professor of professional practice include those defined for the rank of assistant professor of professional practice. In addition, accomplishments consistent with the expectations in teaching, professional practice and service, and scholarship should meet, at a minimum, the department criteria for promotion to these ranks.

Professional practice faculty may be appointed to three- to five-year contracts. Every contract year is probationary with reappointment considered annually. There is no presumption that subsequent contracts will be offered, regardless of performance. Contracts must explicitly state the expectations for salary support.

Professional practice faculty may serve on University committees and task forces but not on governance. Professional practice track faculty may advise graduate students, supervise postdoctoral researchers, and be a principal investigator on extramural grant applications. Approval to advise graduate students must be obtained from the Graduate School as per [Rule 3335-5-29](#) and detailed in the [Graduate Handbook](#). Professional practice track faculty may not serve on the P and T Committee.

### 3. Associated Faculty

Associated faculty appointments may be as short as a few weeks to assist with a focused project, several months to teach a workshop series, or for up to three years when a contract is useful for long-term planning and retention. Associated faculty may be renewed.

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor:** Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the department, such as teaching workshops or participating on grant funded projects for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**Assistant Professor, Associate Professor, Professor with FTE below 50%:** Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 to 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-regular 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.

### 4. Courtesy Appointments for Faculty

Occasionally the active academic involvement in the Department of Extension by a tenure-track or professional practice faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in the department. Courtesy appointments are considered for faculty affiliation in one of two ways: by invitation to the faculty member or by an individual's or administrative unit's request to be affiliated with the department because of their academic interests and potential to contribute to the departmental programs. Courtesy appointments with the department carry the expectation of appropriate active involvement to the department, such as serving as a co-investigator on a research project, or entails regular interaction on an outreach and engagement initiative for the department. In general, non-salaried faculty members are eligible to:

- teach Extension/outreach educational programs,
- develop educational materials,
- attend and participate in faculty and departmental meetings,
- serve on departmental committees, including search committees for regular faculty,
- serve as project leaders and principal investigators on funding proposals.

Faculty members on courtesy appointments are not eligible to vote on departmental governance issues.

## B. Procedures

See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the [Office of Academic Affairs Policies and Procedures Handbook](#) for information 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

Faculty in the Department of Extension are recruited/identified in two ways: through national search or proven performance in Extension educator positions without a national search.

### 1. Tenure-Track Faculty – Campus/Region

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

Searches for tenure-track faculty proceed as follows:

- The dean of the college provides approval for the department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.
- The department chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department.
- Prior to any search, members of all search committees must undergo inclusive hiring practices training available through 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 department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, and 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 considerations 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. The university does not grant tenure in the absence of permanent residency ("green card"),

and strict U. S. Department of Labor (DOL) 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 print journal.

- 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 department office. If the faculty does not agree, the department chair in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).
- Meets to discuss perceptions and preferences, and to review the rating of each candidate following completion of interviews. The committee provides on behalf of the faculty a report of the level of support to extend an offer.

On-campus interviews must include opportunities for interaction with faculty groups, including the search committee, the department chair, the director of Extension, and the dean or designee. In addition, all candidates make a presentation to the faculty. The presentation could include an actual workshop or another mock instructional format. All candidates interviewing for a particular position must follow the same interview format. All participating in the interview process have a chance to rate the candidate using an anonymous “ballot.”

If the offer involves senior rank, the P and T Committee members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the P and T Committee members vote on the appropriateness of such credit. The P and T Committee reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the department chair. Appointment offers at the rank of associate professor or professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

In the event that more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair.

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.

## **2. Extension Educators Applying for a Tenure-Track Position without a National Search**

Extension educators who have a minimum of a master’s degree and have attained the rank of Educator IV may apply for a tenure-track position. The process is initiated upon the written request of the educator in a letter to the department chair. The educator will develop a dossier following the most current OSU faculty guidelines. Educators seeking a faculty appointment must meet the minimum criteria for teaching, service and research/scholarly/creative work for Educator IV. The candidate must provide evidence of the potential for sustained faculty achievement at the assistant professor level.

The review process will include reviews by the department P and T Committee, the division directors/program leaders, and the department chair. Procedures for P and T Committee votes as detailed above will be followed. The department chair will make the final determination of whether to offer faculty status to the candidate and will contact the candidate. Ordinarily, when an educator enters the faculty rank, it will be with an appointment at the assistant professor rank with six years of probationary

status. If a request for a faculty position without a search is not approved, the educator will remain an Educator IV.

### **3. Professional Practice (i.e. Clinical) Faculty**

Searches for professional practice faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview may be on professional /educational practice rather than scholarship, and exceptions to a national search require approval only by the college dean.

### **4. Associated Faculty**

Associated faculty appointments, either requested by individuals or recommended by the department tenure-track faculty or the chair, shall be reviewed by the associate chairs and the division directors/program leaders. This review shall include a copy of the candidate's vita, a letter of request by the individual seeking associated faculty status or a letter of nomination by a department faculty member or chair outlining the rationale for the appointment and benefit to the department, and an interview with the associate chairs, and/or the division directors/program leaders, and/or the chair unless specifically waived due to prior appointment or other circumstances. The associate chairs and the division directors/program leaders shall make a recommendation to the chair. Approval will be obtained by a two-thirds positive vote of the P and T Committee. All associated faculty appointments will be reviewed annually for reappointment.

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.

### **5. Courtesy Appointments for Faculty**

Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, professional practice, or research faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to the department justifying the appointment is considered by the department P and T Committee.

All courtesy appointment faculty will have their responsibilities outlined prior to the appointment. The term of appointment is for one year with an annual review. The purpose of this review will be to assess the faculty member's record of contributions to the department and to guard against non-salaried appointments becoming courtesy appointments with no significant contribution to departmental programs. The review will be conducted by the department chair and, in alternate years, by the faculty represented by the appropriate promotion and tenure committee. Following satisfactory review, the department chair will renew the appointment.

To implement the latter review, the promotion and tenure committee chair will request from non-salaried appointees a listing of their contributions in teaching, research, outreach and service to the department during the past two years. The promotion and tenure committee will discuss these contributions and will make a recommendation to the faculty and department chair regarding re-appointment or termination of the appointment.

## **V. Annual Review Procedures**

Every faculty member must have an annual written performance review. The TIU shall follow the requirements for annual reviews as set forth in the [Policy on Faculty Annual Review](#).

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

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 no later the final day of January following the review period.

The department chair is required (per [Faculty Rule 3335-3-35](#)) to include a reminder in the annual review letter that all faculty have the right (per [Faculty Rule 3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

### **A. Procedures**

All faculty members receive written evaluations each year. A face-to-face or a web-based video meeting of the faculty member and chair, associate chair, or division director/program leader is required as part of the annual review. Additional face-to-face or web-based meetings may be held if either one requests a meeting, or to discuss changes needed in the annual statement of responsibilities and expectations. In most cases a meeting is held with the division director/program leader or associate chair to review the faculty member's accomplishments during the past year, assess whether goals have been achieved, and discuss future goals. During the meeting, suggestions and recommendations for reaching or maintaining a high level of productivity are made and the faculty member's involvement in development of an action plan is encouraged. The meeting also addresses specific strengths and weaknesses of the faculty member and recommendations for improvement where needed. The follow-up meeting related to performance counseling may be optional for some tenured faculty members who have established a high level of performance. All faculty members have the option of adding written comments to their annual performance evaluations before they are placed in the faculty member's personnel file.

The associate chair or division director/program leader recommends annual salary increases and other performance rewards to the department chair/director. Salary increases are formulated with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the associate chairs/unit heads divide faculty into four groups based on continuing productivity (consistently exceeded expectations, often exceeded expectations, met expectations, and did not meet expectations) and considers market and internal equity issues as appropriate.

Faculty members wishing 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.

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

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

The department P and T Committee reviews each probationary tenure-track faculty dossier annually in the Fall and provides the chair a written evaluation of the faculty member's progress in the probationary tenure-track. The committee review focuses on strengths and weaknesses of the dossier and provides a succinct summary of strengths and weaknesses in the committee letter to the department chair. First year probationary faculty should submit a dossier for review in the fall if they are hired in the first six months of the calendar year. If the committee has considerable concerns regarding the progress of first, second, third, or fifth year

probationary faculty, it may elect to call for a vote on renewing the probationary faculty appointment. If a vote is taken, the results are included in the committee letter to the chair.

If the committee feels that the candidate is making exceptional progress in the tenure-track, it may encourage the candidate to consider going up for promotion and tenure before the sixth year. The P and T Committee letters become part of the cumulative dossier for promotion and tenure.

If the department chair recommends renewal of the appointment, this recommendation is final. The department chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The department chair's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments if he or she chooses).

If the department chair recommends nonrenewal, the Fourth-Year Review process (per [Faculty Rule 3335-6-03](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

### **1. Fourth-Year Review**

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are only solicited when either the department chair or the P and T 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, interdisciplinary, or the committee does not feel capable of evaluating the scholarship without outside input. On completion of the review, the eligible committee members vote by written ballot on fourth year faculty on whether to renew the probationary appointment.

Since this department follows fourth year review procedures for all annual reviews of probationary tenure track faculty, no modifications are required for the fourth year review and a vote is required. However, at the conclusion of the department review, the formal comments process (per [Faculty Rule 3335-6-04](#)) is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal.

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

[Faculty Rule 3335-6-03 \(D\)](#) sets forth the conditions under which a probationary tenure track faculty member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs [Policies and Procedures Handbook](#).

## **C. Tenured Faculty**

Every faculty member (tenured and probationary) must have an annual performance review. The department follows the requirements for annual performance reviews as set forth in the [Office of Academic Affairs Policies and Procedures Handbook](#) and the [Pattern of Administration for the Department of Extension](#).

Tenured assistant professors and associate professors are reviewed annually by the department chair with input from the associate chairs and division directors/program leaders. The annual performance review

provides the opportunity for documentation and discussion of accomplishments over the past 12 months as well as responsibilities, expectations, and objectives for the coming year. Documentation of past accomplishments should focus (whenever possible) on both what has been accomplished and the impact of a faculty member's efforts. This is true for individual accomplishments and for accomplishments made as a contributing member of a team. 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.

#### **D. Professional Practice Faculty**

The chair will review professional practice faculty annually. The chair will consider the faculty member's contributions and base the review on the department's criteria for teaching, research/scholarly/creative work, and service that are consistent with those for tenure-track faculty at the same rank. The faculty member will receive written notification of the chair's finding.

If the department chair determines that the position held by a professional practice faculty member 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.

#### **E. Associated Faculty**

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

The chair, or designee, reviews compensated associated faculty members on a multiple year appointment annually. The chair, or designee, prepares a written evaluation and meets with the faculty member to discuss performance, future plans, and goals. No later than October 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The chair's recommendation on reappointment is final.

### **VI. Merit Salary Increases and Other Rewards**

#### **A. Criteria**

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, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases. The annual performance review provides the opportunity for documentation and discussion of accomplishments over the past 12 months as well as responsibilities, expectations, and objectives for the coming year. Documentation of past accomplishments should focus (whenever possible) on both what has been

accomplished and the impact of a faculty member's efforts. This is true for individual accomplishment and for accomplishments made as a contributing member of a team.

Faculty who fail to submit the required documentation for an annual performance 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. Documentation**

The annual performance review of every faculty member requires that two summary documents be submitted to the department chair no later than the date specified by the department:

- updated CV, which will be made available to all faculty in an accessible place
- updated Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3

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.

### **1. Teaching**

Teaching excellence is fundamental to the mission of the College of Food, Agricultural, and Environmental Sciences (CFAES) and is the predominate role of faculty in the Department of Extension. CFAES expects outstanding commitment to, and demonstrated performance in, enhancing the learning of our students whether they are enrolled in classes for credit or are learners in Extension learning situations.

It is expected that every faculty member abides by University rules that require students in every class to be afforded a formal opportunity to provide feedback on the quality of instruction they have received. Probationary faculty must use the Student Evaluation of Instruction (SEI) for formal credit classes and the Evaluation of Effective Extension Teaching (EEET) forms for informal non-credit Extension teaching. SEIs and EEETs may be augmented with instructor designed instruments.

Furthermore, probationary faculty, as part of their evaluation of quality of teaching, must complete a comprehensive assessment including quantitative and qualitative elements.

Among other areas of assessment, the department expects faculty with teaching responsibilities to be assessed on the following dimensions of teaching effectiveness (credit generating instruction and outreach instruction).

- mastery of the subject matter;
- continuous growth in subject matter knowledge;
- ability to organize and communicate class material with logic, conviction, and enthusiasm;
- objectivity;
- contributions to curricula or program development;
- creativity in course or program development, methods of presentation and incorporation of new materials and ideas;

- capacity to enhance students' awareness of the relationship between subjects studied, important problems, and other fields of knowledge;
- advising undergraduates, graduate students and Extension clientele;
- directing graduate and undergraduate research programs.

The following dimensions of teaching performance are expected of Extension teachers.

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

In addition, performance in Extension teaching is evaluated in terms of: (1) the development and delivery of outreach education programs; (2) changed practices, policies or behavior from outreach education; (3) the development of teaching materials; and (4) Extension publications and juried presentations.

Supplemental materials which may be requested/required to supplement data in the dossier report include:

- Summary reports of at least three EEET reports (per year), SEIs if the faculty member taught a credit course as part of their regular duties
- At least one peer evaluation of teaching letter per year as required by the department's peer evaluation of teaching program. Other appropriate evidence of teaching quality and effectiveness can include instructor designed instruments and other instruments which include areas of assessment outlined in this section. These items may be utilized in place of a portion of the EEET requirement for faculty with administrative appointments or in case of extenuating circumstances such as those noted in [Faculty Rule 3335-6-03\(D\)](#). Other instruments must be approved by the chair or designee.

## **2. Scholarship**

All candidates for tenure and promotion must demonstrate clear excellence in scholarship. For Extension faculty scholarship may include survey work, applied research, development of educational material or methods among other activities that deliver information in a format that meets clientele needs. The nature and extent of their contribution will be commensurate with their assigned responsibilities, the amount of time allocated for scholarship, and the extent to which they have resources available to support these activities. Hence, the nature and scope of their scholarly output may vary by location or assignment (county). However, for all candidates, their research scholarship must be adequate for the expectations assigned and of sufficiently high quality to indicate excellent performance.

Excellence is indicated by the validation of candidates' work by their peers, particularly in settings where peer reviewers and editors decline to publish all submissions due to competition for limited publication space. Typical sources of such validation include publication in peer-reviewed journals, acceptance of peer-reviewed papers, publications of scholarly books, publication of peer-reviewed Extension publications, awarding of peer-reviewed grants, invited presentations, patents awarded and prestigious awards received. Recognition will also be given to non-traditional kinds of research scholarship when it is validated by peers and shared with others. In such cases, it is incumbent on the candidate to document the quality indicators of such contributions.

The department values interdisciplinary and team-based scholarship. Such contributions will be recognized. Candidates must document the nature and extent of their contributions in the context of the total team so that colleagues can accurately value their individual contribution to the outcome of the group.

Supplemental materials which may be requested/required to supplement data in the dossier report include:

- Copies of scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the 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 e.g. published reviews including publications where one's work is favorably cited, or grants and contract proposals that have been submitted.

### **3. Service**

All faculty members are expected to contribute actively to the governance of the department, the college and the university. Service activities include serving on such committees as the chair, VP/dean, provost or president may assign as well as committees to which one has been elected by his/her colleagues; serving in supportive administrative roles such as program direction, when asked; serving the profession through such activities as service as an officer on the board of a professional organization or journal (including editor roles), or participation in organizing a symposium; representing the University in service to the nonacademic community; serving in special roles in the community by Extension personnel such as with commodity groups, community development groups, youth support groups, etc. When a candidate shows special ability in service, it should be part of the consideration during tenure review, but such special ability will not relieve the candidate of demonstrating excellence in teaching and scholarly activities.

Supplemental materials which may be requested/required to supplement data in the dossier report include:

- Any available documentation of the quality of service that enhances the list of service activities in the dossier.

## **VII. Promotion and Tenure and Promotion Reviews**

### **A. Criteria**

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

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

A substantial contribution to educational outreach in an area of specialization should be documented. Faculty members are expected to recognize the value of and seek interdisciplinary approaches to problem solving. There must be evidence that the candidate contributes to teamwork and to service activities that benefit the profession and citizens of the State.

The primary function of county and non-campus-based faculty is to provide high quality community-based instruction and to serve the educational needs of their communities. With this consideration in mind, in evaluating these faculty members for promotion and tenure or promotion, the department will give greater emphasis to the quality of teaching and service relative to applied research. Recognizing that the character and quantity of applied research by county and non-campus-based faculty may differ from that of campus-based faculty, due to the weight of other responsibilities and lack of access to comparable resources, the department nevertheless expects county and non-campus-based faculty to establish a program of high quality scholarly activity and to document scholarly and creative work through a discriminating peer review process, particularly by those outside the OSU Extension organization. The work should be broadly distributed reaching the largest possible audience of peers and used by peers and other professionals. Clear documentation of impact should be evident. Some faculty members have an administrative appointment as area leader or non-campus-based Extension unit. Other faculty may have temporary assignments as team leaders or coordinators of statewide programming efforts. Quality in these areas of service will be considered.

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

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

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

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

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

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is detrimental to the department's ability to perform and progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's primary role is, and will continue to be, community-based teaching of noncredit courses and workshops, then excellence in teaching and program development and implementation is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching or scholarship that is a significantly smaller part of the individual's responsibilities.

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

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

#### **Teaching**

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

- Consistently excellent teaching as assessed by both learners and peers or steadily improving teaching so that excellence is attained by the time of the review.
- Up-to-date content at an appropriate level in each situation and demonstrate continuing growth in subject matter knowledge.
- A systematic pattern of evaluation of teaching, using the standardized EEET (Evaluation of Effective Extension Teaching) forms or other instruments which may have been collected. (B. I above)
- A systematic pattern of peer evaluation of teaching and curriculum development using the Extension peer appraisal tools provided by OSU Extension.
- Demonstrated ability to organize and present materials effectively with logic, conviction and enthusiasm in the faculty member's area of specialization or focus.
- Impact assessment of the outcomes of the learning process document level of change in knowledge, skills, behaviors, attitudes or practice of individuals or document social or economic impact.
- Demonstrated creativity and innovation in use of various modes of instruction, technology and other teaching strategies to create an optimal learning environment.

### **Scholarship**

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

- A substantial body of focused, high quality research/scholarly/creative work that is disseminated appropriately and judged to have had impact on the field by internal and external evaluators.
- Evidence of work in progress.
- A body of work published and/or presented in high quality peer-reviewed venues (e.g., books, journals, scholarly conferences, etc.) that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:
  - 1) Quality, impact, quantity.
  - 2) Contribution to a line of inquiry or repackaging of earlier work.
  - 3) Rigor of the peer review process and degree of dissemination of publication and/or presentation venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published scholarly works more than unpublished, and original works more than edited works. Internally peer-reviewed OSU Extension publications for non-campus-based faculty are recognized venues of scholarly contribution. See [OSU Extension Policy and Procedures Handbook](#).
  - 4) Collaborative work is encouraged, and indeed is essential to Extension's mission. The candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.

- A demonstrated ability to obtain and potential to sustain program funding from grants and contracts. Competitive peer-reviewed funding is weighted more favorably than other types since it serves as a quality indicator, and grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done. Funding is a means to an end; demonstrated impacts must be reported, funding that has not led to productivity is disregarded in the review.
- A developing reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized academic forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other's publications. A reputation based on the quality of the scholarship contribution in the area of specialization is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences. County and non-campus-based faculty should be recognized statewide and regionally; campus-based faculty should have national recognition.
- Demonstrated high degree of ethics in the conduct of applied research, including but not limited to full and timely adherence to all regulations relevant to the program, and ethical treatment of collaborators.

### **Service**

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

- Substantive contributions to the department, college or university and related professional organizations.
- Demonstrated potential for useful contributions to the profession.
- Demonstrated success in administrative leadership roles if these are a part of the assignment. Attributes considered: results of peer and faculty assessments, significant impacts on organization policies and procedures, contributions to achieving the mission and vision of the department, development and implementation of improved practices in dealing with: legislative matters, personnel issues, fiscal management, staff development, communication, leadership development or other areas.

## **2. Promotion to Professor**

[Faculty Rule 3335-6-02](#) establishes the following general criteria for promotion to the rank of professor.

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

For promotion to professor, a faculty member is expected to be a role model for senior faculty and for the profession. Assessment takes place in relation to specific assigned responsibilities, with exceptional performance in these responsibilities required. The specific criteria in teaching, research/scholarly/creative works, 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 increasing quality of contributions, and a record of continuing professional growth. Evidence of established national (county) and international (campus-based) reputation in the field is expected. Publication of a body of work in high quality peer-reviewed venues is expected.

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. Promotion to Associate Professor of Professional Practice**

For promotion to professional practice associate professor, a faculty member must have a substantial record of non-formal educational programs and outreach activities developed and delivered to meet industry and/or stakeholder needs across the state. A record of continuous success in securing funding for education and training programs is required along with a growing national reputation.

### **4. Promotion to Professor of Professional Practice**

To be promoted to professional practice professor, a faculty member must have a national or international reputation built on an impressive record of excellent teaching and impactful education and outreach programs. A record of continuous funding for education and training programs is required.

## **B. Procedures**

The department's procedures for promotion and tenure and promotion reviews are consistent with those set forth in [Faculty Rule 3335-6-04](#) and the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#), except where the department has obtained approval both from the dean and provost to follow different procedures. The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the department.

### **1. Candidate Responsibilities**

- To submit 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. As a supplement to these guidelines, OSU Extension provides each candidate with an annual Promotion and Tenure Dossier Outline which provides additional clarification for reporting Extension related activities and scholarly work.
- To submit a copy of the APT under which the candidate wishes 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.
- The candidate will review the list of potential external evaluators developed by the department chair. 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.

### **2. Promotion and Tenure Committee Responsibilities**

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

- Review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- Attend all promotion and tenure committee meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote. Encourage committee members to attend a promotion workshop during first year.
- Provide administrative support annually for the promotion and tenure review process as described below:
  - **Late Spring:** Select from among members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
  - Suggest names of external evaluators to the department chair.
  - **Summer and Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates in a timely manner to assure that needed revisions are made in the dossier before the formal review process begins.
  - A member of the committee meets with each candidate once prior to the fall committee meeting for coaching and clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
  - **Late Autumn:** Provide a written evaluation and recommendation to the department chair and director in the case of joint appointees whose tenure initiating unit is another department. The full promotion and tenure committee does not vote on these cases.

At least seven members of the promotion and tenure committee must be present and vote yes or no on a case for the vote to be valid. An alternate may be selected by the department chair in event of an absence and the potential for more than one abstention exists. Only professors can consider professor candidates. Abstentions are not votes. A two-thirds majority of votes must be yes for a vote to be considered positive. Absentee voting is not permitted.

- In the Spring semester, the committee shall screen dossiers voluntarily submitted by probationary faculty and potential transfers to the faculty track. The committee will provide guidance and direction to the faculty member in the preparation of the dossier for the fall review as well as an assessment of progress in the faculty track.
- In Spring semester, the committee shall screen annually promotion requests from faculty members seeking a non-mandatory review in the following academic year and decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. Two-thirds of those eligible to vote on a request must vote affirmatively for the review to proceed. The vote will be communicated to the faculty member. The committee bases its decision on assessment of the record as presented in the faculty member's dossier and on a determination of the availability of all required documentation for a full review (e.g., peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.

A tenured faculty member who requests and is denied a promotion review must be granted the review in the following year per [Faculty Rule 3335-6-04](#). If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.

Consistent with Office of Academic Affairs policy, only faculty who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (i.e. has a "green card"). Faculty not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.

A decision by the committee to permit a review to take place in no way commits the promotion and tenure committee, the department chair, or any other party to the review to making a positive recommendation during the review itself.

### 3. Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure may not be awarded as the result of a mandatory review until permanent residency status is established. Faculty not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the promotion and tenure committee, the department chair and the candidate. (Also see External Evaluations below.)
- To make copies of each candidate's dossier available for review by the Promotion and Tenure Committee at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the Promotion and Tenure committee from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review. A conflict of interest exists when a Promotion and Tenure Committee 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 has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty 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.
- **Late Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the Promotion and Tenure Committee's completed evaluation and recommendation.
- To meet with the Promotion and Tenure Committee to explain any recommendations contrary to the recommendation of the Committee.
- To inform each candidate in writing after completion of the department review process:

- of the recommendations by the Promotion and Tenure Committee and department chair.
- of the availability for review of the written evaluations by the Promotion and Tenure Committee and department chair.
- of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. A form accompanies the letter that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to comments from a candidate that warrant a 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 department chair recommends against promotion. A negative recommendation by the department 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 department chair's independent written evaluation and recommendation, to the department chair of the other TIU by the date requested.

#### **4. External Evaluations**

External evaluations of scholarly activity are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure track promotion and tenure or promotion reviews, and all adjunct faculty promotion reviews. External evaluations are optional in other reviews and will not be solicited. External evaluators should be chosen because of their national/international reputation in a given field plus their knowledge of the U.S. Extension system. When obtained, they should meet the criteria described below.

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

- Is written by a person highly qualified to judge the candidate's research (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.
- 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, letters are requested from at least six reviewers who have agreed to review materials. Letters are solicited no later than early summer 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 department chair with input from the Promotion and Tenure Committee, 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. Section B (3) of [Faculty Rule 3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by

persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the Office of Academic Affairs suggested format ([Letter 201](#)) 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. 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 noted below, is forwarded when the review moves beyond the department.

#### **1. Teaching**

The time period for material included in the dossier for probationary faculty is the date of hire 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. Examples of documentation include:

- Cumulative eSEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class; or three or more group EEETs (Effective Evaluation of Extension Teaching) per year generated by the Learning and Organizational Development (LOD) unit.
- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program
- 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

## **2. Research/Scholarly/Creative Works**

Recognizing that scholarship is a process of growth, candidates may include materials in this section from throughout their career. While all scholarly/creative works can be listed, the primary time period for review in the dossier for probationary faculty is the date of hire to present; and for tenured or non-probationary faculty, it is the date of last promotion to present.

Upon committee request, candidates should be able to provide documentation of the following (with the exception of publication acceptance letters as noted below):

- Copies of all books, articles, and scholarly papers published or accepted for publication. For papers accepted for publication but not yet published candidates must include a letter from the publisher stating that the 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 e.g. published reviews including publications where one's work is favorably cited, or grants and contract proposals that have been submitted. These items should be reported in the narrative on quality indicators.
- Scholarship activities as listed in the core dossier including
  - Documentation of creative works pertinent to the candidate's professional focus including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites
  - Documentation of inventions, patents, disclosures, options and commercial licenses
  - List of prizes and awards for research, scholarly, or creative work

## **3. Service**

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or non-probationary faculty it is the date of last promotion to present. Examples of documentation include:

- 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 the department
  - administrative service to the college
  - administrative service to university and Student Life
  - advising to student groups
- Any available documentation of the quality of service that enhances the list of service activities in the dossier.

## **VIII. 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.

## **IX. Seventh Year Reviews**

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

## **X. Procedures for Student/Clientele and Peer Evaluation of Teaching**

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

If the faculty member teaches a credit course, the eSEI information should be added to the dossier. For Extension teaching, a minimum of three group evaluations of teaching using the Effective Evaluation of Extension Teaching (EEET) instrument or other approved instrument(s) should be obtained per year. A majority of the EEET evaluations should be on topics related to the faculty member's area of specialization or primary area of focus. Group instruments must be collected and submitted for analysis by someone other than the candidate. (Additional information re: EEET evaluation forms available [here](#).)

Faculty members are encouraged to gather other information from learners in different settings to substantiate teaching effectiveness. These evaluations are not a replacement for Group EEET instruments used as described above.

Computerized summary printouts for the past five years and comparative data should be requested from the [Learning and Organizational Development \(LOD\) unit](#) at and inserted in the dossier Appendix.

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

Systematic peer evaluation of teaching over time is an important part of the review process. A consistent pattern of these evaluations over a five-year period should be evident in the candidate's dossier. Peer evaluations should be used to evaluate teaching activities, including seminars, workshops, field days, volunteer training, group facilitation, distance education and problem-solving activities. Guidelines for peer evaluation letters should be followed for all current peer evaluations of teaching. The guidelines to follow for peer evaluation of teaching letters are located [here](#).

Faculty will discuss and establish peer review expectations in collaboration with the chair, associate director, and/or division director/program leader and review these expectations annually during the annual performance evaluation process.

Peer evaluation should focus on the aspects of teaching that students/participants cannot evaluate. Questions to be addressed would include whether the objectives are appropriate, whether instructional materials and visuals are up-to-date, whether activities contribute to the learning objectives and whether evaluations are used which measure impact. Peer assessment of teaching should also assess "mechanical" matters (clarity of speech, variety of teaching approaches, enthusiasm, etc.), the extent to which the faculty member engages the learners in a manner appropriate to the situation and substance of the class.

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

**Selection of Reviewers:** Reviewers/observers of teaching, when possible, should be selected by and the request made by the chair, associate chair, and division director/program leader. Individuals identified as peer reviewers should be of higher rank than the faculty member and be recognized for their expertise in teaching or curriculum design. In the case of outside reviewers, senior level Extension professionals might not carry academic titles at other universities.