

**The Department of Educational Studies**  
**Appointments, Promotion, and Tenure Document**  
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## 1 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 or 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 experience.

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

## 2 DEPARTMENT MISSION

### **Mission**

Across our unique tapestry of academic specializations, we prepare equity-minded leaders, scholars, practitioners and global citizens and produce innovative research to transform schools, colleges and universities, non-profits, community agencies, and policy entities to effectively address the challenges of rapidly changing societies.

### **Vision**

We work to equip students to serve all people, particularly those from historically marginalized groups. We strive to promote equity, inclusion, and social justice, to facilitate reciprocal, strategic partnerships, and to disrupt systemic oppression and educational inequities. Collectively, we endeavor to make a positive impact on the growth, vitality and wellness of children, adults, families, communities, and the workforce in Ohio and beyond through the application of our teaching, research, and service.

### **Values**

Guided by the College of Education and Human Ecology Core Values: Excellence, Justice,

Diversity, Innovation, and Internationalization, we approach our work:

- Through modeling, mentoring, and student-centered instruction
- By enacting meaningful engagement and service to urban, suburban and rural communities
- By promoting research engagement among our students and excellence in research methodology in all its forms
- Through technological innovation to improve learning and development
- With collaboration and respectful dialogue about social equity issues
- By engaging in transdisciplinary and transformative scholarship
- Through promoting diverse ways of knowing and being, including critical engagement with pedagogical and epistemological issues to ensure that deficit narratives about diverse groups are countered in favor of strengths-based teaching, scholarship, and service.
- By teaching and promoting wellness across the lifespan
- Through connecting and partnering with federal/state/local/global communities, as well as scholarly and professional communities
- Through continuous self-reflection and accountability in our recruitment and retention of diverse students, faculty, and community members so that we are transformed into a more inclusive, respectful, and honor-filled community.
- Through training leaders and practicing leadership to address systemic issues of educational equity

### **3 DEFINITIONS**

#### **3.1 Committee of the Eligible Faculty**

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

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

##### **3.1.1 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 department.
- For an appointment (hiring or appointment change from another faculty type) review at senior rank (associate professor or professor), the eligible faculty consists of all tenure-track faculty in the department. A vote on the appropriateness of the proposed rank must then be cast by all tenured faculty of equal or higher rank than the position requested.

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

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

### **3.1.2 Clinical Faculty**

#### **Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of assistant professor of clinical educational studies, the eligible faculty consists of all tenure-track faculty and all clinical faculty in the department.
- For an appointment (hiring or appointment change from another faculty type) review at senior rank (clinical associate professor or professor), the eligible faculty consists of all tenure-track and all clinical faculty in the department. A vote on the appropriateness of the proposed rank must then be cast by all tenured faculty of equal or higher rank than the position requested, and all nonprobationary 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 nonprobationary clinical professors.

### **3.1.3 Associated Faculty**

#### **Initial Appointment, Reappointment, and Contract Renewal**

- Initial appointment (hiring or appointment change from another faculty type), reappointment, and contract renewal of associated faculty members are decided by the department chair in consultation with EHE Office of Faculty Affairs.
- Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary clinical/teaching/practice faculty and tenured faculty of equal or higher rank than the position requested) and prior approval of the college dean.

#### **Promotion Reviews**

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

For the promotion reviews of associated faculty with adjunct and tenure-track titles, the eligible faculty shall be the same as for tenure-track faculty as described above.

The promotion of a lecturer to senior lecturer is decided by the department chair in consultation with the Promotion and Tenure Subcommittee and the EHE Office of Faculty Affairs.

### **3.1.4 Conflict of Interest**

A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional relationship with the candidate (e.g., dissertation advisor), or has collaborated (e.g., co-authored publications and grants) so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 25% of the candidate's scholarship (i.e., 25% of publications and grants combined) since date of hire or the last promotion will be expected to withdraw from a promotion review of that candidate. If an eligible faculty member refuses to recuse himself or herself but the Department Chair determines that the eligible faculty has a conflict of interest due to one or more reasons described above, the Chair has the authority to remove the person from the pool of eligible voters.

A faculty member who recuses her/himself or is removed by the department chair cannot observe, participate, or vote in the deliberation process.

### **3.1.5 Minimum Composition**

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

## **3.2 Promotion and Tenure Subcommittee**

The department has a Promotion and Tenure Subcommittee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The P&T Subcommittee consists of at least five (5) tenured faculty members elected for staggered three-year terms from May 1 of one calendar year to April 30 three years later. A majority of the subcommittee members must be professors and at least one member must be an associate professor. Subcommittee members are elected by nominations from the faculty at large, consistent with university and college rules. A professor alternate and an associate professor alternate shall also be elected. A chair will be elected by subcommittee members annually; the chair must be a professor. On an annual basis, the subcommittee also will elect one or more Procedures Oversight Designees (PODs) after discussing and reaching agreement on distributing POD duties within the subcommittee. If a single POD is chosen, the faculty member must be a professor unless there are no candidates being reviewed for professor. If PODs are assigned to individual cases, an associate professor can serve as POD for

candidates being reviewed for promotion to associate professor and for fourth-year review cases. The term of service on the subcommittee is three years on a rotating basis. Subcommittee members can be reappointed after two years. The alternates serve a one-year term and can be reappointed via faculty vote annually up to a total of three years. After this timeframe, alternates can be reappointed after two years.

When considering cases involving clinical faculty, the Promotion and Tenure Committee subcommittee may be augmented by two nonprobationary clinical faculty members.

### **3.3 Quorum**

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. Faculty on approved leave are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the department chair has approved an off-campus assignment. Faculty may participate virtually only with documentation of approved leave or university business or during extenuating circumstances (e.g., the COVID situation). Regional campus faculty may participate virtually.

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

### **3.4 Recommendation from the Eligible Faculty**

In all votes taken on personnel matters only “yes” or “no” votes are counted. Abstentions are not counted as 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.

If the faculty member participates in the entire discussion, but leaves prior to voting for a reason beyond their control, they should provide their vote to the POD prior to leaving. An eligible faculty member who leaves the meeting after the discussion but before the vote must notify the POD before departing that he or she must depart for a reason outside the person’s control. The POD reserves the right to determine if the reason is justified.

#### **3.4.1 Appointment**

A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the votes cast are positive.

- In the case of a joint appointment, the department must seek input from a candidate’s joint-appointment TIU prior to his or her appointment.

#### **3.4.2 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 secured when two-thirds of the votes cast by faculty eligible



to vote are positive, excluding abstentions. The return of a ballot without a vote or not returning a ballot is an abstention.

- In the case of a joint appointment, the department must seek input from a candidate's joint-appointment TIU prior to his or her reappointment, promotion and/or tenure, or contract renewal.

## 4 APPOINTMENTS

### 4.1 Criteria

The department seeks international distinction in education, scholarship, and public service. Consequently, the department shall make every effort to employ faculty members who can help meet this standard.

The department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department. Important considerations include the individual's record in teaching, scholarship and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the department.

#### 4.1.1 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 department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. An instructor must be approved for promotion to assistant professor by the beginning of the third year, or the appointment will not be renewed and the third year is the terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department's eligible faculty, the department chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate, because prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

**Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the department and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. The granting of prior service credit requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, and cannot be revoked once granted except through an approved request to exclude

time from the probationary period.

**Associate Professor and Professor.** Appointment at senior rank requires that the individual, at a minimum, meet the department'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. All appointments to the rank of associate professor or professor require prior approval of the executive vice president and provost.

The university will not grant tenure unless the candidate is a (1) U.S. citizen or national; (2) permanent resident ("green card" holder); (3) asylee or refugee; or (4) an individual otherwise described as a "protected individual" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b). Offers to foreign nationals require prior consultation with the Office of International Affairs.

#### **4.1.2 Clinical Faculty**

The percentage of clinical faculty for the College of Education and Human Ecology shall not exceed the 20% limit (University Rule [3335-7-03](#)). Tenure is not granted to clinical faculty. Clinical faculty can be appointed at the Instructor, Assistant, Associate, or Professor level. Appointments at the rank of associate professor or professor require prior approval by the college dean and the Office of Academic Affairs.

The initial contract for all clinical faculty members must be for a period of five years. The initial contract is probationary, with reappointment considered annually. Second and subsequent contracts for clinical assistant and associate professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for clinical professors must be for a period of at least three years and no more than eight years. These extended appointments are not probationary, and the individual may only be terminated for cause (see Faculty Rule [3335-5-04](#)) or financial exigency (see Faculty Rule [3335-5-02.1](#)). 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 (see Faculty Rule [3335-7](#)). By the end of that year, the clinical faculty member shall be notified whether a new contract will be offered.

In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

**Instructor of Clinical Educational Studies.** Appointment is normally made at the rank of Instructor of Clinical Educational Studies when the appointee has not completed the requirements for the terminal degree or has not obtained the required licensure/certification at the time of appointment.

The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to a three- year contract. In such cases, if the instructor has not

completed the requirements for promotion to the rank of assistant professor of clinical educational studies by the beginning of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

**Assistant Professor of Clinical Educational Studies.** A terminal degree and/or appropriate credentials demonstrating relevant expertise in the field of study, and extensive experience in the workplace are the minimum requirements for the rank of Assistant Professor of Clinical Educational Studies. Evidence of potential for high quality teaching and high-quality service to the profession is highly desirable.

Criteria for appointment as an Assistant Professor of Clinical Educational Studies:

- A terminal degree and/or appropriate credentials demonstrating expertise in the field of study.
- Evidence of current clinical experience appropriate to the teaching and service role expected within the unit of hire (minimum of five years).
- Evidence of current knowledge of research impacting practice within the field of study.

**Associate Professor of Clinical Educational Studies.** The awarding of the rank of Associate Professor of Clinical Educational Studies must be based on convincing evidence that the clinical faculty member has achieved excellence as a teacher, and as one who provides effective service; and one who can be expected to continue a program of high-quality teaching and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.

Criteria for appointment as, or promotion to, Associate Professor of Clinical Educational Studies:

- A terminal degree and/or appropriate credentials demonstrating expertise in the field of study.
- Current professional credentials demonstrating expertise in the field of study.
- Evidence of current knowledge of research impacting practice within the field of study.
- Evidence of sustained high-quality teaching.
- Evidence of high-quality and impactful service both within and outside of the university.
- Although scholarship is not required, the faculty can document evidence of scholarship as it pertains to the scholarship of teaching, and this scholarship can be used as evidence for excellence in teaching.

**Professor of Clinical Educational Studies.** The awarding of the rank of Professor of Clinical Educational Studies must be based on convincing evidence that the clinical faculty member has a sustained record of excellence in teaching and has demonstrated leadership in service at both the local and national level.

Criteria for appointment as, or promotion to, Professor of Clinical Educational Studies:

- An earned doctoral degree in relevant field of study.
- Current professional credentials demonstrating expertise in the field of study.
- Evidence of current knowledge of research impacting practice with the field of study.
- Evidence of ongoing engagement with practitioners in relevant context.
- Evidence of sustained high-quality teaching.
- Evidence of high-quality and impactful service both within and outside of the university.
- Evidence of high-quality and impactful service at a local, state, and/or national level.

- Although scholarship is not required, the faculty can document evidence of scholarship as it pertains to the scholarship of teaching, and this scholarship can be used as evidence for excellence in teaching.

Appointments of Clinical Faculty at the Instructor, Assistant, Associate, and Professor levels require a deliberation and vote by the eligible faculty.

#### **4.1.3 Associated Faculty**

Associated faculty appointments may be as short as a couple of 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 provide academic service to the department, such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**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 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 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 be reappointed annually for only three consecutive years.

#### **4.1.4 Regional Campus Faculty**

The mission of the regional campuses emphasizes undergraduate instruction; therefore, teaching experience and the quality of instruction are given greater emphasis than for Columbus campus appointments at the tenure-track ranks of assistant professor, associate professor, and professor. Given this greater emphasis on undergraduate teaching, regional campus faculty are not expected to produce the same quantity of research as Columbus campus faculty; however, all research should be of comparable quality.

Regional campus criteria for the appointment of clinical faculty and associated faculty are the same as those for Columbus campus faculty in each of these categories.

#### **4.1.5 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](#). Full-time tenure track, clinical, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the department chair outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and nonprobationary associate clinical professors and clinical professors) will review the application and make a recommendation to the department chair, who will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-5-04](#), emeritus status will not be considered.

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

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

#### **4.1.6 Courtesy Appointments**

Courtesy appointments (0% FTE) may be made by the chair from the recommendation of program faculty. Appointments of a faculty member from another department at Ohio State may be renewed periodically by the chair. Appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

### **4.2 Procedures**

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

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

- letters of offer

#### 4.2.1 Tenure-Track Faculty on the Columbus Campus

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

The search committee:

- Appoints a diversity advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the university personnel 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 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. The university may only award tenure to faculty members who are: (1) U.S. citizens or nationals; (2) permanent residents ("green card" holders); (3) asylees or refugees; or (4) individuals otherwise described as "protected individuals" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b).
- Screens applications and letters of recommendation and presents to the department chair a summary of those applicants (usually three to five) judged worthy of interviewing. If the chair agrees with this judgment, virtual or on-campus interviews are arranged by the search committee chair, assisted by the department office. If the chair does not agree, he or she determines the appropriate next steps (e.g., solicit new applications, review other applications already received, cancel the search for the time being).

Virtual or on-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee, graduate students, the department chair, and the dean or the dean's designee. In addition, all candidates must make a presentation to the faculty and graduate students on their scholarship, and may be requested to teach a class by the search

committee. 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 procedures.

Prior to the interview, the agenda for the candidate's visit is shared with the department faculty. Department faculty are invited to attend all research and teaching presentations, and they have other opportunities to interact with the candidate. Following each opportunity to engage with a candidate, faculty are asked to provide feedback using the feedback forms. These feedback forms will be given to the search committee chair at the end of each candidate's interview.

Following completion of virtual/on-campus interviews, the search committee meets to discuss perceptions and preferences and to indicate if each candidate is acceptable. The search committee reports its recommendation on each candidate to the department chair. In the event that more than one candidate is supported by the committee and the chair, the department chair discusses with the dean which candidate to approach first and the details of the offer, including compensation, service credit, and rank.

The department is advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International Affairs. The university will not grant tenure unless an individual is a (1) U.S. citizen or national; (2) permanent resident ("green card" holder); (3) asylee or refugee; or (4) an individual otherwise described as a "protected individual" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b). The department will therefore be cautious in making such appointments and vigilant in seeking residency status for the appointee promptly and diligently.

#### **4.2.2 Clinical Faculty**

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

#### **4.2.3 Transfer from the Tenure-Track**

Tenure-track faculty may transfer to a clinical appointment if appropriate circumstances exist. The department will abide by the following:

- The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed;
- When a tenured faculty member transfers to the clinical faculty, tenure is lost; and
- All transfers must be approved by the department chair, the college dean, and the executive vice president and provost.

Per Faculty Rule [3335-7-10](#), transfers from a clinical appointment to the tenure-track position are not permitted. Clinical faculty may apply for tenure-track positions and compete in regular national searches for such positions.

#### **4.2.4 Associated Faculty**

The appointment, review, and reappointment of all compensated associated faculty are decided

by the department chair in consultation with the appropriate program chair.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department and are decided by the department chair in consultation with the relevant program area faculty.

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 usually made on an annual basis. After the initial appointment, and if the department's curricular needs warrant it, a multiple year appointment may be offered.

#### **4.2.5 Regional Campus Faculty**

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

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

Searches for regional campus clinical faculty are the same as those described above for tenure-track faculty.

Associated faculty are appointed by the regional campus associate dean, in consultation with the dean/director, department chair, program coordinators, and other relevant faculty members.

#### **4.2.6 Courtesy Appointments**

Any department faculty member may propose a 0% FTE (courtesy) appointment for an individual from another Ohio State department. A proposal that describes the uncompensated academic service to this department justifying the appointment is provided to the department chair, who extends an offer of appointment. The department chair reviews all courtesy appointments at least once every three years in consultation with the program faculty.

## **5 ANNUAL PERFORMANCE AND MERIT REVIEW PROCEDURES**

The department follows the requirements for annual reviews as set forth in the [Faculty Annual Review and Reappointment Policy](#), which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. According to the policy, the purposes of the review are to:



- Assist faculty in improving professional productivity through candid and constructive feedback and through the establishment of professional development plans;
- Establish the goals against which a faculty member's performance will be assessed in the foreseeable future; and
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

The annual performance and merit reviews of every tenure-track faculty member are based on expected performance in teaching, scholarship, and service as set forth in the department's policy on faculty duties and responsibilities, on any additional assignments and goals specific to the individual, and on progress toward promotion, if relevant. Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.

While ideally there will be alignment between the annual evaluation reviews and the reviews conducted for fourth-year or promotion and/or tenure cases, the process is different for the two types of review, and conclusions reached through one process may not necessarily match the conclusions reached in the other.

It is expected that the information in the annual reviews will be used to inform, in part, the fourth-year or promotion and/or tenure cases of tenure-track faculty.

## 5.1 Documentation

For their annual performance and merit review, faculty members must submit the following documents to the department chair at a set date in early January:

- 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*)
- a summary of the past year's activities and goals for the upcoming year (*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 6 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.

All annual review documents shall be reviewed by the Executive Committee (current Program Chairs), which is advisory to the chair. Committee members under review or who have a conflict of interest will recuse themselves. See the Pattern of Administration for specific requirements and procedures. 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 personnel file and to provide written comment on any material therein for inclusion in the file.

## **5.2 Probationary Tenure-Track Faculty**

Every probationary tenure-track faculty member is reviewed annually by the department chair, with written input from the Promotion and Tenure Subcommittee and in consultation with the Executive Committee. The department chair and the Promotion and Tenure Subcommittee chair meet with the faculty member to discuss their performance, future plans, and goals. The department chair and the Promotion and Tenure Subcommittee each prepare an independent written evaluation that includes a recommendation on whether to renew the probationary appointment. The P&T subcommittee letter will focus on year in review as well as within the context of the cumulative work in rank.

If the chair recommends renewal of the appointment, this recommendation is final, pending review by the dean. The 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 Promotion and Tenure Subcommittee's letter and the chair's letter (along with the faculty member's comments, if submitted) are forwarded to the dean of the college. In addition, the annual review letters become part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if submitted).

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.

### **5.2.1 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 Promotion and Tenure Subcommittee determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input.

The eligible faculty conducts a review of the candidate, and the Promotion and Tenure Subcommittee will write a review letter. On completion of the review, the eligible faculty votes by anonymous, written ballot, which will include written justification for the faculty member's vote, on whether to renew the probationary appointment. A justification is not required for the vote to be counted; all votes will be counted.

The eligible faculty forwards a record of the vote and the Promotion and Tenure Subcommittee

letter to the department chair. The department chair conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

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.

### **5.2.2 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](#).

### **5.3 Tenured Faculty**

Associate professors are reviewed annually by the department chair, who conducts an independent assessment alongside consultation from the Executive Committee; meets with the faculty member to discuss their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the department chair, who conducts an independent assessment alongside consultation from the Executive Committee; meets with the faculty member to discuss their performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the department, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The department chair prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

### **Clinical Faculty**

The annual performance and merit review process for clinical probationary and nonprobationary 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 general, there should be no expectation of an alignment between an annual evaluation and reviews conducted for clinical faculty and the evaluation during the penultimate contract year. It is expected that the information in the annual reviews

will be used to inform, in part, the evaluation of the penultimate contract year.

In the penultimate contract year of a clinical faculty member's appointment, the dean, in consultation with the department chair and associate dean of faculty affairs, determines whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External letters of evaluation are not solicited.

To secure a renewal of contract, there needs to be convincing evidence that the clinical faculty member has a sustained record of excellence in teaching and has demonstrated leadership in service at both the local and national level. The record shall indicate a positive trajectory toward the next rank of promotion, if applicable. There is no presumption of renewal of contract.

### **5.5 Associated Faculty**

The annual review process for compensated associated faculty is identical to that for tenured faculty. The department chair's decision on renewal of the appointment is final. If the decision is to renew, the department chair may extend a multiple year appointment.

### **5.6 Regional Campus Faculty**

The annual performance and merit review of a regional campus probationary tenure-track or tenured faculty member is first conducted on the regional campus, with a focus on teaching and service. The review continues at the department level and proceeds as described above for probationary tenure-track and tenured faculty, respectively, on the Columbus campus. In the event of divergence in performance assessment between the regional campus and the department, the department chair discusses the matter with the regional campus dean/director to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and feedback.

The annual performance and merit review of a regional campus clinical faculty member is conducted on the regional campus. The dean/director will provide the department chair a copy of a clinical faculty member's annual performance and merit review letter.

The annual performance and merit review of regional campus associated faculty is conducted entirely on the regional campus.

### **5.7 Salary Recommendations**

In accordance with the concept of shared-governance, the Department of Educational Studies will use a committee structure working in concert with the department chair to make recommendations for faculty salary increases. Specifically, the executive committee will advise the chair on salary matters. The committee's primary role is to assess the summary of the past

year's activities (see Documentation above) submitted by individual faculty. The committee also may provide advice on procedural questions, as allowable under college and university procedural rules for the period of review.

Annual evaluation occurs during the spring semester, and the chair sends evaluation letters in May. Salary determinations are made after the dean announces the pool that will be available for annual raises. Salary increases for the subsequent fiscal year will go into effect as of September 1<sup>st</sup>, unless otherwise designated by the university. Evaluations for faculty on regional campuses are conducted by the executive committee and the chair, in consultation with the dean/director at the regional campus.

Salary increases are formulated in dollar amounts rather than percentage increases, 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 department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate for each group.

Recommendations for salary increases are made by the chair to the dean, who may modify them. The achievement of excellence in teaching, research, and service with impact is the primary measure of success in the compensation strategy of the college. Principles for faculty and staff compensation are also contained in annual statements issued by the college. In the case of family medical leaves, annual evaluations will conform to university guidelines concerning salary increases. The time frame for assessing performance will be primarily the past year, with attention to patterns of increasing or declining productivity over the last three years.

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 and 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. Specifically, an assistant professor is expected to meet criteria that are consistent with eventual advancement to the rank of associate professor. An associate professor is expected to meet criteria that are consistent with eventual advancement to the rank of professor. And, professors are expected to sustain the record that resulted in promotion. Associate professors and professors are expected to contribute equitably in department, college, and university service.

Merit increases will be commensurate with performance in teaching, research, and service. Evaluation of teaching depends on reports of student evaluations, indicators of academic quality of the teaching, and generation of credit hours. The department has a separate "Peer Review of Teaching" document that will serve as a basis for providing additional information about the evaluation of teaching.

A series of satisfactory annual reviews does not necessarily imply a successful review for tenure.

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

Faculty who fail to submit the required documentation (see Section 5.1 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.

To evaluate the performance of CCS and A&P staff, the department uses the college's Performance Management System. Once an incoming chair has articulated the organization of staff and their functions, performance goals are set based on the respective job descriptions, which constitute the criteria upon which performance is assessed. The chair works closely with the department HR specialist and the college HR manager to ensure that staff are placed suitably to their knowledge level and skills, and that staff are given the necessary training and support to perform effectively.

## **6 PROMOTION AND TENURE AND PROMOTION REVIEWS**

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.*

### **6.1 Criteria and Documentation that Support Promotion**

#### **6.1.1 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 an acknowledgement of excellence and future potential for preeminence. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the department's academic mission at a high level for the duration of their time at the university.

Every candidate is held to a high standard of excellence in all aspects of performance. Poor performance in one area cannot be counterbalanced by excellent performance in another area.

All judgments will be made within the context of the candidate's assigned responsibilities and consistent with the conditions of the appointment throughout the review period (see Faculty Rule [3335-6](#)).

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

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

#### *6.1.1.1 Teaching*

For promotion to associate professor with tenure, a faculty member is expected to have high quality teaching. This may be evidenced by the faculty member having:

- Provided up-to-date content at an appropriate level and demonstrated continuing growth in subject matter knowledge.
- Demonstrated the ability to organize and present class material effectively.
- Demonstrated competence in the use of various modes of instruction (e.g., lecture, discussion, lab; in-person, distance learning, hybrid).
- Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process.
- Provided appropriate and timely feedback to students throughout the instructional process.
- Treated students with respect and courtesy.
- Improved curriculum through revision or new development of courses and/or academic programs.
- Served as advisor or co-advisor to an appropriate number of graduate students given the department's graduate student to faculty ratio and the faculty member's area(s) of expertise. (See also the department POA for information on mentoring junior faculty.) Graduate advising is not an expectation for regional campus faculty.
- Served as advisor to undergraduate or licensure students, if appropriate.
- Served as a mentor to undergraduate and/or graduate students, when appropriate.
- Achieved "P" graduate faculty status, unless at a regional campus.

- Documented efforts to improve teaching.
- Engaged in the scholarship of teaching. This can be defined as inquiry into teaching or learning that advances classroom practice in higher education by making research findings public. Scholarship in this area can be used as evidence for excellence in either teaching or research, but not both.

### 6.1.1.2 *Scholarship*

For promotion to associate professor with tenure, a faculty member is expected to have published a body of work in high-quality venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be cited or otherwise shows evidence of influence on the work of others.

Peer reviewed journals and books are primary, and other scholarly works can contribute to the portfolio. The following attributes of the body of work are considered:

- Quality, impact, quantity. The candidate is strongly encouraged to consult with faculty in the program area and the department chair regarding measurements for these constructs.
- Original and independent contribution to a line of inquiry. The candidate should provide evidence of sole or lead authorship.
- Although collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment of individual contribution.
- Evidence of quality of the candidate's scholarship, based on discipline specific indicators (e.g., journal impact factors, h index, citation rate, publication reputation). Archival journal publications, books, and monographs are weighted more heavily than conference proceedings, published scholarship more than unpublished scholarship, original works more than edited works, and refereed publications more than non-refereed publications.
- Empirical (i.e., based on data), theoretical, methodological, and/or conceptual work are all considered part of the candidate's profile and should demonstrate the ability to conduct such work and to mentor future scholars. In all instances, superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion.
- The development of coherence and a clear scholarly identity in the research program over time.

In addition, candidates are strongly encouraged to demonstrate attempts to obtain research program funding.

- Evidence of the candidate's contribution to grant proposals and, if funded, contribution to conducting grant-related activities, based on discipline specific indicators, should be documented.
- Competitive peer-reviewed funding is weighted more favorably than other types, as it serves as a quality indicator of research programs.
- Grants that support or enhance the candidate's scholarly development are weighted more heavily than those that largely dictate activities that do not enhance the development of the candidate's scholarship (e.g., training grants).
- Grant activities that result in publication are especially encouraged.



All candidates are expected to document the following:

- A developing national reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of citations in other researchers' publications.
- Articulation of how the candidate's scholarship demonstrates its relevance and alignment with the discipline, impact on the field, and potential for continued productivity.
- A high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of students, postdoctoral fellows, and collaborators.

### 6.1.1.3 Service

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

- The department (the contributions of regional campus faculty may be limited to their campuses);
- The profession, the university, and the community.

As part of service, faculty may also contribute to public scholarship or a "scholarship of leadership." This is research intended to help leaders guide their institutions and make evidence-informed decisions, and it is research that is made available to the public. Examples include research which helps leaders (e.g., policymakers, elected officials, organizational leaders) make decisions to address challenges like economic, social, political, health, or educational inequality. Public scholarship, or scholarship of leadership can count towards excellence in either service or scholarship, but not both, and if considered as scholarship, must result in publications or other scholarly products as described in Section 6.2.1.1.1.

## 6.1.2 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.*

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. The time frame of review shall begin from the date of the last promotion.

For promotion to Professor, it is generally expected that senior faculty have effectively mentored doctoral students through the dissertation phase; have effectively served in department-, college- and university-level service and/or leadership roles; and taken steps to continually improve as a

teacher. While not all faculty members can contribute excellence in all evaluation dimensions, given different assignments and opportunities, promotion to Professor in the Department of Educational Studies requires evidence of sustained excellence in research.

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. Issues related to differential workload are addressed in the Pattern of Administration.

### **6.1.3 Clinical Faculty**

**Promotion to Clinical Associate Professor.** For promotion to associate professor of clinical educational studies, a clinical 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 department. Specific criteria in teaching and service for promotion to clinical associate professor are similar to those for promotion to associate professor with tenure. Scholarship activity is not expected; however, faculty can document evidence of scholarship as it pertains to scholarship of teaching and this can be used as evidence for teaching.

**Promotion to Clinical Professor.** For promotion to professor of clinical educational studies, a clinical 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 and leadership in service to the department and to the profession. Scholarship activity is not expected; however, faculty can document evidence of scholarship as it pertains to scholarship of teaching and be used as evidence for teaching.

### **6.1.4 Associated Faculty**

**Promotion to Adjunct Associate Professor and Adjunct Professor.** The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track faculty above.

**Promotion to Associate Professor and Professor with FTE below 50%.** The relevant criteria for the promotion of associated faculty members with tenure-track titles are those for the promotion of tenure-track faculty above.

**Promotion to Senior Lecturer.** Lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank as described in Section 4.1.3.

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

## **6.1.5 Regional Campus Faculty**

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the department will give greater emphasis to the quality of teaching and service relative to scholarship. Recognizing that the character and 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 department nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

In evaluating regional campus clinical faculty and associated faculty for promotion, the department will use the same criteria as described above for the promotion of faculty in each of these categories

## **6.2 Procedures**

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule [3335-6-04](#) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#). In all cases, the review procedure follows the university's and college's calendar and deadlines.

**6.2.1 Tenure-Track and Clinical Faculty** (Promotion reviews of Clinical Faculty are non-mandatory reviews. The initial review is conducted by the Promotion & Tenure subcommittee. A positive decision by the subcommittee permits the review to proceed to a deliberation and vote by the full eligible faculty. If the request for a non-mandatory promotion review occurs during the first [i.e., probationary] contract, there is no limit to the number of times that a candidate can be denied a formal non-mandatory review. If the request for a non-mandatory promotion review occurs during the second or later non-probationary contracts, the candidate can only be denied a formal full review one time.)

### **6.2.1.1 Candidate Responsibilities**

Candidates for promotion and tenure or promotion are responsible for submitting a complete, accurate dossier and providing a copy of the APT under which they wish to be reviewed. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to departmental guidelines. Each of these elements is described in detail below.

#### **6.2.1.1.1 Dossier**

By August 1 every candidate must submit to the department chair a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

While the Promotion and Tenure Subcommittee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by him or her. Occasionally it may be appropriate to amend the record when significant new information about items in the dossier becomes available; examples include acceptances of publications of works listed in progress; funding of grants listed as submitted; or contracts or patents that have received a license or other commercial activity. An amended record must be reviewed by all parties to the review process.

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

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

It may be acceptable to use an earlier date if it is germane to the evaluation. Candidates should consult the department chair and the chair of the Promotion and Tenure Subcommittee to make this determination.

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

#### **Teaching Materials Submitted Should Include:**

- Class specific and cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class for which they are available.
- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program. If a candidate's case is to be evaluated in the fall semester of a given calendar year, she or he will need the required number of peer evaluations completed by the end of the prior academic year. See Section 9, Procedures for Student and Peer Evaluation of Teaching.
- Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- Teaching activities as listed in the core dossier may include:
  - involvement in graduate/professional exams, theses, dissertations, and undergraduate research,

- mentoring of students
- 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.

**Scholarship Materials Submitted Should Include:**

- Citations for all books, articles, and 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.
- Citations of grants and contracts submitted.
- Lists of creative works pertinent to the candidate’s professional focus such as artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites.
- Lists of inventions, patents, disclosures, options, and commercial licenses.
- Lists of prizes and awards for research, scholarly, or creative work.
- The same materials sent to the external reviewers shall be made available to the eligible faculty.
- Other published works should be available upon request.

**Service Materials Submitted Should Include:**

- Involvement with professional journals, professional societies, and funding agencies.
- Consultation activity with industry, education, or government.
- Uncompensated clinical services.
- Uncompensated community service
- Administrative service to department.
- Administrative service to college.
- Administrative service to university and student life.
- Mentoring colleagues.
- Advising to student groups and organizations.
- Awards and prizes for service to profession, university, or department.
- Documentation (e.g., letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier.

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

Candidates are also responsible for submitting a copy of the APT under which they wish to be reviewed. Candidates may submit the department’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. This must be submitted when the dossier is submitted to the department.

#### **6.2.1.1.3 External Evaluations** (see also External evaluations below)

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed by the department chair and the Promotion and Tenure Subcommittee. 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. No more than one-half of the letters contained in the final dossier should be from persons suggested by the candidate. All solicited letters that are received must be included in the dossier.

If external evaluations are required, candidates are required to submit a curriculum vitae, five publications, and a research statement to the department chair, typically the spring semester prior to the autumn semester during which their case will be considered.

### **6.2.2 Promotion and Tenure Subcommittee Responsibilities**

The responsibilities of the Promotion and Tenure Subcommittee are as follows:

- To review the APT document annually and to recommend revisions to the faculty, if warranted.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to provide written feedback as to whether such a review should take place. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed. Faculty seeking a non-mandatory review should inform the department chair and the chair of the promotion and tenure subcommittee by March 1st.
- Only professors on the committee may consider promotion review requests to the rank of professor. The subcommittee bases its feedback 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, including student and peer evaluations of teaching. A tenured faculty member may only be denied a formal promotion review under Faculty Rule [3335-6-04](#) for one year. 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.
- This one-year denial rule does not apply to untenured faculty. Non-mandatory promotion reviews of clinical faculty members are described in 6.2.1.
- Faculty members who are not 1) U.S. citizens or nationals; (2) permanent residents ("green card" holders); (3) asylees or refugees; or (4) individuals otherwise described as "protected individuals" pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b) may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until the status is established. Faculty members not eligible for tenure due to lack of status as a "protected individual" under the immigration laws are moreover not considered for promotion by this department. The committee will confirm

the status of an untenured faculty member seeking non-mandatory tenure review with the department chair.

- The feedback from the subcommittee in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
- **Late Spring Semester:** Selects from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the subcommittee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
- **Late Spring Semester:** Suggests names of external evaluators to the department chair.
- **Early Autumn Semester:** Reviews candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements and works with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
  - Meets with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on their dossier.
  - This meeting is not an occasion to debate the candidate's record.
  - Drafts an analysis of the candidate's performance in teaching, scholarship, and service to provide to the full eligible faculty with the dossier and seeks to clarify any inconsistent evidence in the case, where possible. The subcommittee neither votes on cases nor takes a position in presenting its analysis of the record.
  - Revises the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting and forwards the completed written evaluation and recommendation to the department chair.
  - Provides a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
  - Provides a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure initiating unit is in another department. The full eligible faculty does not vote on these cases as the department's recommendation must be provided to the other tenure initiating unit substantially earlier than the Committee begins meeting on department cases.

### 6.2.3 Eligible Faculty Responsibilities

The responsibilities of the members of the eligible faculty 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 and provide justification for the vote.

## 6.2.4 Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. (The department must ensure that such questions are asked of all applicants in a non-discriminatory manner.) Faculty members who are not 1) U.S. citizens or nationals; (2) permanent residents (“green card” holders); (3) asylees or refugees; or (4) individuals otherwise described as “protected individuals” pursuant to Title 8 U.S. Code Section 1324b(a)(3)(b) may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until the status is established. Faculty members not eligible for tenure due to lack of status as a “protected individual” under the immigration laws 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 Subcommittee, the department 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 each candidate’s dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted upon.
- To 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. At the request of the eligible faculty, the department chair 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 department review process of the:
  - recommendations by the eligible faculty and department chair,
  - availability for review of the written evaluations by the eligible faculty and department chair,
  - opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether 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 department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Subcommittee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure initiating unit by the date requested.

### **6.3 Procedures for Associated Faculty**

Adjunct faculty and associated faculty with tenure-track titles for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty, 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 executive vice president and provost if the dean's recommendation is negative.

### **6.4 Procedures for Regional Campus Faculty**

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

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

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

### **6.5 External Evaluations**

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

Materials sent to the external reviewers must include, at a minimum, a curriculum vitae, five publications, and a research statement. Materials should be submitted from the start date or last promotion, whichever is most recent; however, it is acceptable to use an earlier date if it is germane to the evaluation. Candidates should consult the department chair and the chair of the Promotion and Tenure Subcommittee to make this determination.

A minimum of five credible and useful evaluations must be obtained. No more than half can be recommended by the candidate. A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) and who is not a close personal friend, research collaborator, or former academic advisor or postdoctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. The department will make every effort to solicit evaluations from tenured faculty at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, the chair shall make every effort to ensure that the majority of the evaluations come from professors. In the case of an associate professor seeking promotion to full professor, evaluations must come from 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.

Because the department cannot control who agrees to write 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 chair with input from the Promotion and Tenure Subcommittee, the department chair, and the candidate. 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 a letter, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the Office of Academic Affairs [suggested format](#) for letters requesting external evaluations. Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

## **7 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.

## **8 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.

## **9 PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING**

### **9.1 Student Evaluation of Teaching**

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in the department. Faculty 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 faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

### **9.2 Peer Evaluation of Teaching**

Periodic peer evaluation of teaching is required for faculty at all ranks

Peer review of instruction is the responsibility of the faculty of the department, not the individual faculty member being reviewed. A peer review of teaching includes class observation and the review of course materials. Peer reviews should aim for clear and productive feedback on the course that has been reviewed, its design and organization, student assignments, and feedback to and engagement with students. The faculty member may select courses for review and recommend the schedule for review. They may nominate reviewers, and may request assistance and input from the Department Chair or Associate Chair to help select appropriate peer reviewers from within the Educational Studies faculty.

It is an expectation that all tenured faculty will serve as peer reviewers. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and

encourage attention to the quality of teaching in the department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible. Each year, the associate chair will contact probationary faculty to coordinate the assignment of a peer reviewer. Non-probationary faculty who would like to have a peer review conducted should contact the associate chair.

The responsibilities of the tenured departmental faculty are as follows:

- To review the teaching of probationary tenure-track and clinical faculty at least once per year during the probationary period.
- To review the teaching of associate professors at least twice by the time they seek promotion to professor.
- To review the teaching of professors as requested by the department chair.
- To review the teaching of any faculty member not currently scheduled for review, upon the department chair's request. 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 department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Assistant professors may conduct these reviews. Faculty seeking formative reviews should also seek the services of the [Michael V. Drake Institute for Teaching and Learning](#).

Reviews conducted upon the request of the department chair or the faculty member focus on the specific aspects of instruction requested by the chair or faculty member.

Regularly scheduled peer teaching evaluations 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 associate 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. A candidate for promotion may nominate a faculty member from elsewhere in the university to serve as the peer reviewer, subject to approval by the Educational Studies Promotion and Tenure subcommittee.

In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on such issues as the appropriateness of the course design given the goals and level of the course, the quality and effectiveness of the instructional materials and assessment tools, and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer meets with the candidate to give feedback and also submits a written report to the department chair, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.