

# **Appointments, Promotion, and Tenure Criteria and Procedures for The Ohio State University Libraries**

**Approved by the Faculty: 12/4/2023**

**Approved by the Office of Academic Affairs: 3/10/23**

**Revision Approved by the Office of Academic Affairs:  
1-12-24**

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## **I PREAMBLE**

This document is a supplement to Chapters 6 and 7 of the [University Faculty Rules](#); 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 university to which The Ohio State University Libraries (University Libraries) and its faculty are subject.

Should those rules and policies change, University Libraries 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 Vice Provost and Dean of University Libraries (Dean).

This document must be approved by the Dean and the Office of Academic Affairs before it may be implemented. It sets forth University Libraries' vision, mission, and values, in the context of the vision, mission, and values of the University, its criteria and procedures for faculty appointments and for faculty promotion and tenure and rewards, including salary increases. In approving this document, the Dean and the Office of Academic Affairs accept the vision, mission, and values and criteria of University Libraries and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to University Libraries' vision, mission, and values 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 University Libraries; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's [Affirmative Action and Equal Employment Opportunity Policy](#).

## **II UNIVERSITY LIBRARIES VISION, MISSION, AND VALUES**

### **A Vision**

The Ohio State University Libraries aspires to be the leading research library advancing the educational, research, and engagement missions of a public, land grant institution.

### **B Mission**

University Libraries promotes innovative research and creative expression; advances effective teaching; curates and preserves information essential for future scholarship and learning; and shares knowledge and culture with the people of Ohio, the nation, and the world.

### **C Values**

University Libraries' faculty and staff live these values in all that we do:

- Discovery – We embrace curiosity, experimentation, and learning.

- Connection – We share our knowledge and expertise, embrace differing perspectives, and build enduring relationships.
- Equity – We advance diversity, inclusivity, access, and social justice.
- Integrity – We practice openness, accountability, and respect.
- Stewardship – We leverage the resources entrusted to us for maximum impact.

### **III DEFINITIONS**

#### **A Committee of the Eligible Faculty**

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

The Dean, the Assistant and Associate Deans of University Libraries, the Executive Vice President and Provost and the President may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, or promotion and tenure.

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

- **Initial Appointment Reviews**

For appointment reviews of tenure-track faculty, the Appointment, Promotion and Tenure Committee (AP&T) shall appoint a subcommittee of no fewer than two members to review the candidate’s dossier, meet with the candidate, and make a recommendation to the Dean regarding the appropriate rank for the candidate’s appointment. For an appointment (hiring) review of an assistant professor, the recommendation to the Dean on the acceptability of each candidate is the responsibility of the search committee.

- **Rank Review**

For an appointment at senior rank, a review is performed, and a vote is taken by the faculty members eligible to vote on the rank under consideration. The eligible faculty for senior rank (associate professor or professor) of new appointments consists of all tenured faculty of equal or higher rank than the position requested.

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

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

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

#### **2 Professional Practice Faculty**

- **Initial Appointment Reviews**

For appointment reviews of professional practice faculty, the AP&T committee shall appoint a subcommittee of no fewer than two members to review the candidate’s dossier, meet with the candidate, and make a recommendation to the Dean regarding the appropriate rank for the candidate’s appointment.

For an appointment (hiring) review of a professional practice assistant professor, the recommendation to the Dean on the acceptability of each candidate is the responsibility of the search committee.

- **Rank Reviews**

For an appointment at a senior rank, a review is performed, and a vote is taken by the faculty members eligible to vote on the rank under consideration. The faculty eligible to perform senior rank reviews (professional practice associate professor or professional practice professor) of new appointments consists of all tenured associate professors, tenured professors, non-probationary professional practice associate professors, and non-probationary professional practice professors.

- **Reappointment and Promotion Reviews**

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

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

### **3 Associated Faculty**

- **Initial Appointment and Reappointment**

Initial appointment (hiring or appointment change from another faculty type) of compensated associated faculty members follows a job posting in Workday (see Section IV.B), a formal search, and candidate interviews. The reappointment of associated faculty members is decided by the Dean in consultation with the Executive Committee.

Initial appointments at senior rank require a vote by the eligible faculty (tenured faculty and non-probationary professional practice faculty of equal or higher rank than the position requested) and prior approval of the Office of Academic Affairs.

- **Promotion Reviews**

Associated faculty are eligible for promotion but not tenure if they have adjunct titles.

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

### **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 (dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's scholarship since the last promotion will be expected to withdraw from a promotion review of that candidate.

## **5 Minimum Composition**

In the event that University Libraries does not have at least three eligible faculty members who can undertake a review, the Dean will appoint a faculty member from another college.

## **B Appointment, Promotion and Tenure Committee**

University Libraries has an Appointment, Promotion and Tenure Committee (AP&T) that assists the eligible faculty in managing the personnel and promotion and tenure issues. The committee consists of twelve members who are tenured at the Associate or Professor level, with a minimum of two professors. The committee's membership is elected; the chair is determined by the committee. The term of service is three years. A faculty member can be re-elected after a period of one year off the committee.

## **C Quorum**

The quorum required to discuss and vote on all personnel decisions is two thirds of the eligible faculty not on an approved leave of absence. 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 Dean has approved an off-campus assignment.

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

## **D Recommendation from the Eligible Faculty**

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

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

### **1 Appointment**

A positive recommendation from the eligible faculty for appointment is secured when a simple majority of the votes cast are positive. In the case of a joint appointment, University Libraries will seek input from a candidate's joint-appointment TIU prior to his/her/their appointment.

### **2 Reappointment, Tenure and Promotion**

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, and promotion cases is secured when a simple majority of the votes cast are positive. In the case of a joint appointment, University Libraries will seek input from a candidate's joint-appointment TIU prior to his/her/their reappointment, promotion and tenure, or promotion.



## IV APPOINTMENTS

### A Criteria

University Libraries is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of University Libraries. Important considerations include the individual's record to date in librarianship, 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 to University Libraries. 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 University Libraries. The search is either canceled or continued, as appropriate to the circumstances.

The required academic preparation for University Libraries' faculty is: 1) a Master's degree from a program accredited by the American Library Association; or 2) a Master's degree with a specialization in archives; or 3) a Master's degree in museum studies; or 4) a comparable graduate degree in one of the above fields from a non-U.S. university, reviewed on a case-by-case basis; or 5) in exceptional cases, when members of the AP&T Committee, as elected representatives of the wider University Libraries' faculty, are consulted prior to the posting of the position, candidates without one of the above degrees but with a relevant advanced degree may be appointed.

#### 1 Tenure-Track Faculty

**Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but the required academic preparation for University Libraries' faculty has not been completed by the candidate at the time of appointment. Procedures for appointment are identical to that of assistant professor. University Libraries will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by University Libraries' eligible faculty, the Dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted except through an approved request to exclude time from the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

**Assistant Professor.** Candidates ordinarily will be appointed at the rank of assistant professor. Evidence of potential for high-quality librarianship, scholarship, and service to University Libraries 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. For individuals not recommended for promotion and tenure after the mandatory review, the 7<sup>th</sup> year will be the final year of employment.

Review for tenure prior to the mandatory review year is possible when AP&T determines such a review to be appropriate. The granting of prior service credit for work experience, which requires approval of

the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted except through an approved request to exclude time from the probationary period. Scholarship produced prior to the date of hire will be considered in promotion and tenure decisions to provide context and illustrate a candidate's broader research arc. Works produced before date of hire will only be fully considered if a candidate seeks service credit. A service credit request for prior work experience must be sought during appointment negotiation and requires the approval of the Dean and the Executive Vice President and Provost.

**Associate Professor and Professor.** Appointment at senior rank requires that the individual, at a minimum, meets University Libraries criteria in librarianship, scholarship, and service for promotion to these ranks. Appointment offers at the rank of associate professor or professor and offers of prior service credit require prior approval of the Office of Academic Affairs.

Appointment at the rank of associate professor normally entails tenure. A probationary appointment at senior rank is appropriate only under extraordinary circumstances. 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.

Appointments at the rank of professor without tenure should not occur.

Offers to foreign nationals require prior consultation with the Office of International Affairs.

## **2 Professional Practice Faculty**

For the initial cohort, current professional librarians in staff roles transitioning to professional practice faculty roles employed by the university for five (5) or more years, the probationary period requirements will be waived, and they will be appointed as non-probationary professional practice faculty. Those employed for less than five (5) years would have their probationary periods reduced by the number of years served.

Following the first cohort, the initial contract for all professional practice faculty entails a five-year appointment. The initial contract is probationary, with reappointment considered annually. Second and subsequent contracts for professional practice faculty must be for a period of three to five years (assistant or associate) or three to eight years (professor). Tenure is not granted to practice faculty. There is also no presumption that subsequent appointments will be offered, regardless of performance. The terms of a contract may be re-negotiated at the time of reappointment. These extended appointments are not probationary, and the individual may only be terminated for cause (see rule [3335-5-04](#) of the Administrative Code) or financial exigency (see rule [3335-5-02.1](#) of the Administrative Code). The Pattern of Administration for University Libraries describes the governance rights extended to professional practice faculty.

**Professional Practice Assistant Professor.** Evidence of professional experience appropriate to the librarianship and service role expected within the unit of hire. Evidence of current knowledge of research impacting practice within library or information science and/or the relevant librarianship sub-specialty.

**Professional Practice Associate Professor.** All criteria as noted above for professional practice assistant professor. Minimum five years of professional experience appropriate to the librarianship and service role expected within the unit of hire. Evidence of ongoing engagement with practitioners in relevant context. Evidence of sustained high-quality librarianship. Evidence of high-quality and impactful service both within and outside of the university.

**Professional Practice Professor.** All criteria as noted above for professional practice associate professor. Minimum eight years professional experience appropriate to the librarianship and service role expected within the unit of hire. Current professional credentials demonstrating expertise in the field of study. Evidence of advanced knowledge of research impacting practice within the field of study. Evidence of ongoing engagement with practitioners in relevant context. Evidence of sustained high-quality librarianship. Evidence of high-quality and impactful service both within and outside of the university. Evidence of high-quality service at the local, state, or national level.

### **3 Associated Faculty**

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments are never compensated. Adjunct faculty appointments are given to individuals who volunteer considerable uncompensated academic service to University Libraries for which a faculty title is appropriate. 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.

**Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.** Visiting faculty appointments may either be compensated or uncompensated. Visiting faculty members on leave from a regular 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. Visiting faculty appointments may be renewed annually for only three consecutive years.

### **4 Regional Campus Faculty**

In the case of a tenure-track position on a regional campus, the regional campus Dean and Library Director have primary responsibility for determining the need for a position and the position description, but should consult with and seek agreement with the Dean of University Libraries. Regional campus criteria for appointment at the tenure-track ranks of assistant professor, associate professor, and professor are similar to those for Columbus campus faculty.

In the case of a professional practice position on a regional campus, the regional campus Dean and its Library Director have primary responsibility for determining the need for a position and the position description but should consult with and seek agreement with the Dean of University Libraries. Regional campus criteria for appointment for professional practice faculty are similar to those for Columbus campus faculty.

## **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, associated faculty, or professional practice 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 Dean outlining academic performance and citizenship. AP&T will review the application and make a recommendation to the Dean. The Dean will decide upon the request, and if appropriate submit it to the Office of Academic Affairs. 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 Office of Academic Affairs [Policies and Procedures Handbook](#) Volume 1, Chapter 1, for information about the types of perquisites that may be offered to emeritus faculty, provided resources are available.

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

## **6 Courtesy Appointments for Faculty**

Occasionally the active academic involvement in University Libraries by a tenure-track faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in University Libraries. Appropriate active involvement includes substantial involvement in University Libraries' work, scholarship, collaboration, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

## **B Procedures**

All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. Formal interviews are required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](#) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

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

- Recruitment of tenure-track faculty, professional practice faculty, and associated faculty
- Appointments at senior rank or with prior service credit
- Hiring faculty from other institutions after April 30
- Appointment of foreign nationals
- Letters of offer

## 1 Tenure-Track Faculty 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 Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the Office of Academic Affairs [Policy on Faculty Recruitment and Selection](#).

Searches for tenure-track faculty proceed as follows:

The Dean provides approval 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 Dean appoints a search committee including three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other areas within University Libraries.

Within 24 months prior to a search, every search committee member is required to have participated in an orientation on hiring for inclusive excellence available 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:

- Includes a Human Resources (HR) representative who serves as the 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, in consultation with the hiring manager, for internal posting in the university [Careers at Ohio State page](#) through the [Office of Human Resources](#) and external advertising, subject to the Dean's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Assists and advises HR personnel as necessary in developing and implementing a plan for external advertising and direct solicitation of nominations and applications.
- In consultation with HR and the hiring manager, screens applications and references and presents to the Dean a summary of those applicants (usually three to five) judged worthy of interview. If the Dean, in consultation with the supervising manager and their Assistant/Associate Deans (AD) agrees with this judgment, HR and the search committee chair arrange virtual or on-campus interviews. If none of the candidates are judged worthy of interview, the Dean, in consultation with the search committee, determines the appropriate next steps (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 University Libraries' faculty, the search committee, representatives from AP&T, and the Dean or designee. In addition, all candidates make a presentation to the faculty and staff. All candidates interviewing for a particular position must follow the same interview format and relevant accommodations for disability/impairment should be provided.

Following completion of virtual/on-campus interviews, the search committee meets to review submitted evaluations, discuss perceptions and preferences, and to determine which candidates are acceptable. A list of the acceptable candidates is submitted to the Dean who, after consultation with the supervising manager, makes a hiring decision. The details of the offer, including compensation, are determined by the Dean.

If the offer involves senior rank, the eligible faculty votes on the appropriateness of the proposed rank. If the offer involves prior service credit, the eligible faculty also votes on the appropriateness of such credit. In both instances, a simple majority of the eligible faculty must vote yes or no, and of those votes a simple majority must be positive for the senior rank or prior service credit to be approved. Appointment offers at the rank of associate professor or professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

Potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status will be discussed with the Office of International Affairs. An [MOU](#) must be signed by faculty eligible for tenured positions who are not U.S. citizens or nationals, permanent residents, asylees, or refugees.

## **2 Professional Practice Faculty on the Columbus Campus**

Searches for professional practice faculty generally proceed as for tenure-track faculty.

## **3 Transfer from the Tenure Track**

Per Faculty Rule [3335-7-09](#), tenure-track faculty may transfer to a professional practice appointment if appropriate circumstances exist. University Libraries may permit a tenure-track faculty member to transfer to a professional practice faculty position with a 2/3 vote from all tenure-track faculty in the University Libraries. Tenure or tenure eligibility is lost upon transfer, and transfers must be approved by the Dean and the Executive Vice President and Provost.

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

Transfers from a professional practice appointment to the tenure track are not permitted. Professional practice faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

## **4 Associated Faculty on the Columbus Campus**

The appointment of compensated associated faculty members follows a job posting in Workday (see Section IV.B), a formal search, and candidate interviews. The appointment is then decided by the Dean in consultation with the Executive Committee. The review and reappointment of all compensated associated faculty are decided by the Dean in consultation with the Executive Committee.

Compensated associated appointments are generally made for a period of one to three years, unless a shorter or longer period is appropriate to the circumstances.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in University Libraries. The proposal is considered by AP&T and a recommendation is sent to the Dean for review and appointment decision.

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

Associated appointments may be made for a period of up to three years and require a formal renewal at the end of the contract period if they are to be continued. Adjunct appointments may be renewed only when the uncompensated academic service for which the appointment was made continues.

## **5 Regional Campus Faculty**

The regional campus has primary responsibility for determining the position description for a tenure-track faculty or professional practice faculty search, but the regional campus Dean/Director consults with the Dean of University Libraries to reach agreement on the description before the search begins.

The Dean of University Libraries and the regional campus Dean/Director will agree on a single search committee consisting of members of both units. Candidates should, at a minimum, be interviewed by the regional campus Dean/Director, the representatives of the Dean of University Libraries, the search committee, and representatives of both faculties. Candidates will be evaluated on both campuses, with AP&T on the Columbus campus taking primary responsibility for evaluating the candidate's scholarship. A decision to hire requires agreement on the part of the Dean of University Libraries and of the regional campus Dean/Director. Negotiations with a candidate should not begin without such agreement and a letter of offer must be signed by the Dean of University Libraries and the Dean/Director of the regional campus.

## **6 Courtesy Appointments for Faculty**

Any University Libraries' faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to University Libraries justifying the appointment is considered by AP&T. If the proposal is recommended by AP&T, the Dean reviews and makes a decision on appointment. The Dean reviews all courtesy appointments every three years to determine whether they continue to be justified and takes recommendations for non-renewal to AP&T for a vote. Following a vote, a recommendation is sent to the Dean for review and appointment decision.

# **V ANNUAL PERFORMANCE AND MERIT REVIEW**

University Libraries follows the requirements for annual performance and merit review as set forth in the Office of Academic Affairs [Policy on Faculty Annual Review and Reappointment](#), 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 reviews of every tenure-track faculty member are based on expected performance in librarianship, scholarship, and service as set forth in University Libraries' Policy on Faculty Duties and Responsibilities in the [Pattern of Administration](#); on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. If a library faculty member has an administrative role, the impact of that role and other assignments will be considered in the annual review. The immediate supervisor prepares a written evaluation of performance with consideration for balance of librarianship, scholarship, and service in University Libraries.

The annual reviews of every professional practice faculty member are based on expected performance in librarianship and service as set forth in University Libraries' Policy on Faculty Duties and Responsibilities in the [Pattern of Administration](#); on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. The immediate supervisor prepares a written evaluation of performance with consideration for balance of librarianship and service in University Libraries.

The Dean (per [Faculty Rule 3335-3-35](#)) is responsible for the requirement that the immediate supervisor informs faculty members when they receive their annual review of their right to (per [Faculty Rule 3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

## **A Documentation**

For their annual performance and merit review, faculty members must submit the following documents to their immediate supervisor no later than February 1 ( untenured faculty) and March 1 (tenured faculty and professional practice faculty):

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

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

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

## **B Probationary Tenure-Track Faculty on the Columbus Campus**

Every probationary tenure-track faculty member is reviewed annually by their immediate supervisor who meets with the faculty member to discuss his or her performance and future plans and goals and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.



The immediate supervisor's annual review letter to the faculty member includes an evaluation of librarianship, scholarship and service, content on future plans and goals, and a recommendation to the Dean on renewal of the probationary appointment. The immediate supervisor's letter (along with the faculty member's comments, if received) is forwarded to the Dean. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if provided).

Probationary faculty are also reviewed annually by AP&T until the sixth-year review. The Chair of AP&T appoints peer-review subcommittees to conduct annual peer reviews of probationary faculty members. Membership of the subcommittees will rotate annually so that each probationary faculty member is reviewed by a different subcommittee each year. The subcommittees will examine the dossier, administrative evaluation, and other documentation. If necessary, the subcommittee may obtain external evaluations of a probationary faculty member's publications and, with the candidate's approval scholarship in progress. Each subcommittee will write a brief, signed letter assessing the probationary faculty member's scholarship and service. The letter will include a recommendation to the Dean on renewal of the probationary appointment. The letter will be addressed to the probationary faculty member and copies provided to the supervisor, the Dean of University Libraries, and University Libraries' Human Resources. Probationary faculty will have an opportunity to respond in writing to each annual peer review. The letter will be placed in the probationary faculty member's personnel file and a copy will be sent to the faculty member's immediate supervisor and the appropriate administrator(s).

If the Dean decides on renewal of the appointment, this decision is final. The Dean will communicate the decision to the faculty member. The faculty member may provide written comments on the review.

If the Dean 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 Office of Academic Affairs where the Executive Vice President and Provost will make the final decision.

## **1 Fourth-Year Review**

During the fall, a fourth-year review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the Dean makes a recommendation regarding renewal or nonrenewal of the probationary appointment, with final approval by the Executive Vice President and Provost.

External evaluations are only solicited when either the Dean or AP&T 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.

AP&T facilitates a discussion of the candidate's dossier during a special faculty meeting. Questions submitted in advance will be answered during the discussion. On completion of the discussion, the eligible faculty present at that meeting votes on whether to renew the probationary appointment.

Participating fully in discussions and voting via remote two-way electronic connection are allowed.

AP&T forwards a record of the vote and a written summary of the discussion to the Dean. The Dean conducts an independent assessment of performance and prepares a written evaluation that includes a

recommendation on whether to renew the probationary appointment. The formal comments process (per [Faculty Rule 3335-6-04](#)) is followed and the case is forwarded to the Office of Academic Affairs for review, regardless of whether the Dean recommends renewal or nonrenewal.

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

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

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

Associate professors are reviewed annually by their immediate supervisor, who submits a written performance review to the Dean along with comments on the faculty member's progress toward promotion. The immediate supervisor conducts an independent assessment; meets with the faculty 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 their immediate supervisor, who conducts an independent assessment and submits a written performance evaluation to the Dean. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the vision, mission, and values of University Libraries, as demonstrated by ongoing excellence in librarianship; national and international recognition of their scholarship; and outstanding service to University Libraries, 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. The faculty member may provide written comments on the review.

## **D Professional Practice Faculty on the Columbus Campus**

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

In the penultimate contract year of a professional practice faculty member's appointment, the Dean of University Libraries must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in [Faculty Rule 3335-6-08](#) must be observed. If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review generally proceeds in the same manner as the Fourth-Year Review procedures for tenure track faculty. There is no presumption of renewal of contract.

## **E Associated Faculty on the Columbus Campus**

Every compensated associated faculty member is reviewed annually by their immediate supervisor who meets with the faculty member to discuss his or her performance and future plans and goals and prepares a written evaluation. The immediate supervisor's evaluation is forwarded to the Dean. For compensated associated faculty members in their initial appointment, reappointment is decided by the Dean in consultation with the Executive Committee. For compensated associated faculty members on a multiple year appointment, no later than October 15 of the final year of the appointment, the Dean in consultation with the Executive Committee will decide whether to reappoint. The Dean's decision on reappointment is final.

## **F Regional Campus Faculty**

Probationary tenure-track and professional practice faculty on regional campuses will be reviewed annually by the immediate supervisor on the regional campus, appropriate Associate Dean, and by AP&T. The regional campus review focuses mainly on librarianship and service. The immediate supervisor's report of that review and a copy of the faculty member's dossier will be forwarded to the Dean of University Libraries for the personnel file. The Associate Dean who is the liaison to the regional campuses will contribute to an annual review for tenure-track and professional practice faculty, which will include a review of scholarship where scholarship is a component of the assigned role. A copy will be given to the faculty member, to the immediate supervisor, and to the Dean of University Libraries. The Chair of AP&T will give a written review of the faculty member's scholarship, as appropriate, and service to the faculty member, to the immediate supervisor, and to the Dean of University Libraries. In the event of divergence in performance assessment between the regional campus and University Libraries, the Dean of University Libraries discusses the matter with the regional campus supervisor in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

Annual review of a tenured faculty member or non-probationary professional practice faculty member is conducted both by the regional campus and University Libraries as described above in V. C. and V. D. In the event of divergence in performance assessment between the regional campus and University Libraries, the Dean of University Libraries discusses the matter with the immediate supervisor in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

## **G Salary Recommendations**

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

Meritorious performance in librarianship, scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past calendar year, with attention to patterns of increasing or declining productivity. Faculty with

high-quality performance in all areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

Faculty who fail to submit the required documentation for an annual review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

#### **1 Procedures**

Faculty productivity is assessed annually by the direct supervisor, working in consultation with the appropriate Assistant and Associate Dean. The Dean utilizes these assessments, in consultation with the Executive Committee, in formulating recommendations for annual salary increases and other performance awards. Salary increases and other performance awards for faculty members at the Health Sciences, Moritz Law Library, and regional campus libraries are handled through local processes.

Faculty members who wish to discuss dissatisfaction with their salary increase with their Assistant Dean, Associate Dean, or Dean 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.

## **VI PROMOTION AND TENURE REVIEWS**

### **A Criteria and Evidence that Support Promotion**

Each faculty member has an essential role in fulfilling the vision, mission, and values of University Libraries and the university.

Within the University Libraries, teaching is defined as librarianship, those areas of expertise applicable to executing the functions of one's appointed position. Each faculty member has a variety of librarianship and service duties.

#### **1 Tenure-Track Faculty on the Columbus Campus**

As part of fulfilling the vision, mission, and values, 20% of the faculty member's time is allotted to scholarship, professional service activities, and professional development. Tenure and promotion are an incentive, an acknowledgment, and a reward for sustained contributions to the vision, mission, and values. Both are earned after a record of meritorious accomplishments and the judgment of peers within the context of university policies and rules.

In evaluating the candidate's qualifications in librarianship, 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.

**(a) 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 vision, mission, and values of the academic unit(s) to which the faculty member is assigned and to the university. In University Libraries, the Faculty Rule is interpreted to be:

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 librarian, as a scholar, and as one who provides effective service; and can be expected to continue a program of high-quality librarianship, scholarship, and service relevant to the vision, mission, and values of University Libraries and to the university.

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately diminishing the department's ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. For instance, if a candidate's primary role is and will continue to be teaching or collection development, then excellence in that particular area is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of librarianship that is a significantly smaller part of the individual's responsibilities.

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

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 University Libraries' academic vision, mission, and values at a high level for the duration of their time at the university.

The accomplishments listed below in the areas of librarianship, 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.

## (1) Librarianship

For promotion to associate professor with tenure, a faculty member is expected to have demonstrated excellence in the areas of expertise applicable to the candidate's appointed position, which may include, but not be limited to, the following:

- Analyzing curricular and research needs of the candidate's assigned areas and matching scholarly and information resources to those needs.
- Sustaining and enhancing/expanding comprehensive knowledge of information resources in the areas of the candidate's expertise, as well as an awareness of the general contours of the information landscape.
- Developing and applying knowledge of use of collections to effectively manage resources and increase the value of collections for faculty's and students' research, teaching, and learning.
- Leveraging knowledge of publishing trends, open access publishing and other publication models, and of scholarly communication in order to support faculty and student scholarship.
- Supporting content discovery through resource description and the appropriate deployment of technologies in order to sustain access to resources.
- Managing, organizing and evaluating data and information to align with user behavior.
- Supporting scholarship at various stages of its creation and dissemination.
- Creativity in advancing University Libraries' vision, mission, and values through program leadership.
- Creativity in the development of instructional materials and effective pedagogies for a variety of teaching situations.
- Supporting faculty in redesigning courses and curriculum using current instructional design practices and University Libraries' resources.
- Providing expert assistance with and interpretation of policies regarding intellectual property; advising faculty and students on strategies for effectively managing and exercising their rights in their work.
- Building and integrating complex information technology systems and structures to promote faculty and student use of University Libraries' resources and expertise.
- Serving in an ex officio capacity on committees, task forces, working groups etc. within the scope of one's position.

## (2) Service

In service, we recognize a variety of valuable contributions: service within University Libraries, within the University, within the larger profession, and within the community. Service must demonstrate useful contributions to the profession at the University, regional, state, national, or international levels.

Expectations for engagement with service to the institution and the profession continue after achieving tenure. Examples of service include but are not limited to:

- Involvement with professional journals and professional societies.
- Consultation activity with industry, education, or government.
- Administrative/governance service to University Libraries or the university.
- Advising to student groups and organizations.

- Mentoring or other community service engagements.

### (3) Scholarship

Research or creative work leads to better librarianship; to innovation in the continuing response to research needs; and to the professional growth of the faculty. Each faculty member is expected to develop a research agenda reflecting professional interests. No single type of publication/creative work is invariably a more significant component of a research program than another. Nevertheless, a body of work with evidence of substantial impact with a particular emphasis on peer-reviewed scholarship, which is cumulative in nature and reflects the highest academic standards, is required.

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

- Published or created a body of work that is focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
- The following attributes of the body of work are considered:
  - quality, impact, quantity
  - unique contribution to a line of inquiry
  - rigor of the peer-review process and degree of dissemination of publication venues
- Begun to develop a national and/or international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums and equivalent electronic venues, invitations to review scholarly works and grant proposals, and a beginning trend of positive citations in other scholars' publications. A reputation based on the quality of the scholarly contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences or prominence in social media.
- Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to research.

### (b) Promotion to Professor

The criteria for promotion to professor are similar to those for promotion to associate professor with tenure, with the expectation of an ongoing record of excellence in librarianship and continuing professional growth. The accomplishments of the candidate's full career at University Libraries will be taken into consideration; however, activities since the last review will be given special attention since they demonstrate whether there is a continuing pattern of excellence in librarianship, scholarship and service.

The faculty member must provide evidence of further contributions to scholarship since the last review, the impact and quality of which are recognized by peers locally, nationally, or internationally. There must also be evidence of leadership in the governance of University Libraries and to the profession of librarianship or a subject discipline. For promotion to professor, a faculty member is expected to serve as a role model and mentor.

It is recognized that members of University Libraries faculty vary greatly in the type of duties they perform. Appreciation of the diversity and uniqueness of each faculty member's performance,

scholarship, service, and other activities shall be a part of the review process. The totality of the faculty member's accomplishments since the last review shall be evaluated for evidence of overall excellence and the expectation that this level of achievement will continue in the future. 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.

## **2 Professional Practice Faculty on the Columbus Campus**

**(a) Promotion to Professional Practice Associate Professor.** Requires a minimum of five years of professional experience appropriate to the librarianship and service role expected within the unit of hire. Evidence of ongoing engagement with practitioners in relevant context. Evidence of sustained high-quality librarianship. Evidence of high-quality and impactful service both within and outside of the university. Specific criteria in librarianship and service for promotion to professional practice associate professor are similar to those for promotion to associate professor with tenure. Up to 10% of a professional practice faculty's time may be allotted to service to the University Libraries, university, or profession; research is not an expectation for professional practice faculty.

**(b) Promotion to Professional Practice Professor.** All criteria as noted above for professional practice associate professor. Requires a minimum eight years professional experience appropriate to the librarianship and service role expected within the unit of hire. Current professional credentials demonstrating expertise in the field of study. Evidence of advanced knowledge of research impacting practice within the field of study. Evidence of ongoing engagement with practitioners in relevant context. Evidence of sustained high-quality librarianship. Evidence of high-quality and impactful service both within and outside of the university. Evidence of high-quality service at the local, state, or national level. The basic criteria for promotion require excellence in librarianship, and the promise of excellence in service to the university and the broad community.

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

## **4 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, University Libraries will give greater emphasis to the quality of librarianship and service relative to scholarship. Recognizing that the character and quantity of scholarship by tenure-track 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, University Libraries nevertheless expects regional tenure-track campus faculty to establish a program of high-quality scholarly activity.



## **B Procedures**

University Libraries' 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](#).

### **1 Tenure-Track and Professional Practice Faculty on the Columbus Campus**

#### **(a) Candidate Responsibilities**

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates are fully responsible for the contents of the dossier and 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 AP&T makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

The complete dossier, including the documentation of librarianship noted below, is forwarded when the review moves beyond University Libraries. The documentation of scholarship and service noted below is for use during University Libraries' review only, unless reviewers at the university levels specifically request it.

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

Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

#### **(1) Librarianship**

The time period for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion or the last five years, whichever is more recent, to present. Documentation includes:

- Annual letters prepared by the AP&T sub-committees.
- Annual letters prepared by the immediate supervisor.
- Written responses by the candidate on any annual letter during the annual review process (if applicable).
- Cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class taught for credit in which the candidate is an instructor of record.
- Other cumulative assessments of teaching, such as University Libraries' student evaluation of teaching reports, or discursive evaluations (if applicable).

- Peer evaluation of teaching reports as required by University Libraries Teaching and Learning Committee procedures.
- Listing of teaching or librarianship activities in the dossier.

## (2) Scholarship

For scholarship documentation, a full history of publications and creative work should be included, as this information provides context to the more recent and relevant research record and/or demonstrates scholarly independence. Information about scholarship produced prior to the start date (for probationary faculty) or date of last promotion (for tenured or non-probationary faculty) may be provided. Any such material should be clearly indicated. However, it is the scholarship performance since the start date or date of last promotion that is to be the focus of the evaluating parties. Examples of documentation include:

- Copies of all scholarly works published or accepted for publication. Works 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.
- Documentation and/or description of all creative works.
- Documentation of grants and contracts received.
- Other relevant documentation of scholarship as appropriate (such as published reviews, publications where one's work is favorably cited, and grants and contract proposals that have been submitted).
- Scholarship activities as listed in the core dossier including:
  - Documentation of creative works pertinent to the candidate's professional focus including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites.
  - Documentation of inventions, patents, disclosures, options and commercial licenses.
  - List of prizes and awards for research, scholarly, or creative work.

## (3) Service

The time period for material included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty it is the date of last promotion or the last five years, whichever is more recent, to present. A candidate may include information prior to the date of last promotion, and/or since the date of last promotion if more than five years. Any such material should be clearly indicated. Examples of documentation include:

- Service activities as listed in the core dossier including:
  - involvement with professional journals and professional societies
  - consultation activity with industry, education, or government
  - administrative service to department
  - administrative service to college
  - administrative service to University and Student Life

- advising to student groups and organizations
  - awards and prizes for service to profession, university, or department
  - any available documentation of the quality of service that enhances the list of service activities in the dossier
- All tenure-track faculty members undergoing Fourth-Year Review and mandatory or non-mandatory promotion and/or tenure reviews, and all professional practice faculty undergoing promotion reviews, will be reviewed using University Libraries' current AP&T document (as approved and posted on the Office of Academic Affairs website). Candidates, however, may choose to be reviewed under the criteria document that was in effect on their start date or on the date of their last promotion (or last reappointment, in the case of professional practice faculty), whichever is more recent. However, for tenure-track faculty, the current 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. A candidate who chooses to use an earlier document shall notify the Dean of this intent by submitting the AP&T Criteria Document that was in effect on their start date or on the date of last promotion when submitting their dossier and other materials for review.
  - If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed by the AP&T Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The Dean decides whether removal is justified (also see External Evaluations below). Under no circumstances should a candidate solicit evaluations from any party for purposes of the review.

**(b) Appointment, Promotion and Tenure Committee Responsibilities**

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in Spring semester, requests from faculty members seeking a non-mandatory review in the following academic year. AP&T will decide whether it is appropriate for such a review to take place for all requests except those for promotion to the rank of professor. The body of eligible professors will be convened to review requests for promotion to professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.

AP&T, or the body of eligible professors, bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (e.g. student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.

A tenured faculty member may be denied a formal promotion review under [Faculty Rule 3335-6-04](#) only once. Faculty Rule [3335-7-08](#) makes the same provision for non-probationary professional practice faculty. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful. A non-tenured faculty member may be denied a non-mandatory promotion and tenure review each year up to the year of the mandatory review.

A decision by AP&T, or by the body of eligible professors, to permit a review to take place in no way commits the eligible faculty, the Dean, or any other party to the review to making a positive recommendation during the review itself.

Annually, in late-spring through early-autumn semester, AP&T will provide administrative support for the promotion and tenure review process as described below:

- Late spring: with the help of AP&T and the candidate, the Procedures Oversight Designee (POD) will suggest names of external evaluators to the Dean.
- Mid-summer: the POD will solicit internal letters for candidates, giving collaborators the opportunity to provide a written assessment of the candidate's performance and impact in librarianship, service, and/or scholarship.
- Early autumn: The POD and AP&T will review candidates' dossier for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
- The POD will meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- AP&T will draft an analysis of each case following the eligible faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the Dean.
- AP&T will provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- AP&T will provide a written evaluation and recommendation to the Dean in the case of joint appointees whose tenure initiating unit is another department. The full faculty does not vote on these cases since University Libraries' recommendation must be provided to the other tenure initiating unit substantially earlier than the faculty begins meeting on University Libraries' cases.

**(c) Eligible Faculty Responsibilities**

The responsibilities of the members of the eligible faculty are as follows:

- Review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- Attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.
- Attendance and voting via telecommunication may be permitted with the approval of the Dean in advance of the meeting.

**(d) Dean Responsibilities**

The responsibilities of the Dean are as follows:

- To charge each member of the eligible faculty 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. For tenure-track assistant professors, the Dean will confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an [MOU](#) at the time of promotion with tenure.
- Late spring: Solicit external evaluations from a list provided by the POD and including names suggested by AP&T, 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.
- Assure the POD makes 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.
- 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. See Section III.A.3. for further definition.
- 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 Dean will leave the meeting to allow open discussion among the eligible faculty members.
- Late autumn: Provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- Meet with the eligible faculty to explain any recommendations contrary to their recommendation.
- Inform each candidate in writing after completion of University Libraries' review process:
  - Of the recommendations by the eligible faculty and Dean;
  - Of the availability for review of the written evaluations by the eligible faculty and Dean;
  - Of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the Dean, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the Dean, indicating whether or not they expect to submit comments.
- Provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- Forward the completed dossier to the appropriate office by that office's deadline.
- Receive AP&T's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the Dean's independent written evaluation and recommendation, to the head of the other tenure initiating unit by the date requested.

## **2 Procedures for Associated Faculty on the Columbus Campus**

Adjunct faculty for whom promotion is a possibility follow the promotion guidelines and procedures detailed in Section VI.B above, except in the case of faculty for whom the Dean recommends against promotion. A negative recommendation by the Dean is final in such cases.

### **3 Procedures for Regional Campus Faculty**

Regional campus faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus Dean/Director. The regional campus review focuses on librarianship and service. For professional practice faculty the request to promote follows the same procedures tenure-track faculty except that external letters are not needed unless scholarship is a component of the assigned role.

The regional campus Dean/Director forwards the written evaluation and recommendation of the regional campus review to the Dean of University Libraries, from which point the review follows the procedures described for the Columbus campus faculty. A request to promote requires agreement by the regional campus Dean/Director and the Dean.

### **4 External Evaluations**

External evaluations of scholarly activity are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews. External evaluations of scholarly activity are not obtained for professional practice or adjunct faculty unless the faculty member has been involved in significant amounts of scholarship. The decision to seek external evaluations for a professional practice or adjunct faculty member will be made by the Dean after consulting with the candidate and the chair of the AP&T Committee.

A minimum of five credible and useful evaluations should be obtained (although under extreme circumstances as outlined in the Office of Academic Affairs documentation this may be altered; see section 3.6 of Vol. 3 of the Office of Academic Affairs [Policies and Procedures Handbook](#)). A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, scholarship 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.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since University Libraries cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of June prior to the autumn review. 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 AP&T, the Dean, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. [Faculty Rule 3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor University Libraries requires that the dossier contain letters from evaluators suggested by the candidate.

University Libraries follows the Office of Academic Affairs suggested format for letters requesting external evaluations. A sample letter for tenure-track faculty can be found [here](#). A sample letter for professional practice faculty can be found [here](#).

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the Dean, 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 University Libraries' written evaluations or brought to the attention of the Office of Academic Affairs for advice.

## **VII APPEALS**

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

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

## **VIII SEVENTH-YEAR REVIEWS**

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

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

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

Use of Student Evaluations of Instruction (SEI) is required in every for-credit course offered by University Libraries. Faculty teaching face to face classes should choose a day late in the semester when attendance is likely to be high if the faculty member plans to provide in-class time for students to complete the evaluation using a mobile application. 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 on the evaluations is used both for performance evaluations and to provide feedback that can be taken into account in future teaching.

## **B Peer Evaluation of Teaching**

The Dean oversees University Libraries' peer evaluation of teaching process. University Libraries Teaching and Learning Committee is charged by the Dean to coordinate University Libraries' peer evaluation of teaching process.

Periodic peer evaluation is required for tenure-track and professional practice faculty if they are instructors of record delivering for-credit courses.

Peer evaluation conducted for the purpose of informing reviews for promotion and tenure, promotion, or reappointment should be completed early enough to allow for the use of feedback for improvement and often enough and across a sufficient range of instructional contexts to provide a meaningful body of evidence. Peer evaluation for promotion and tenure or promotion should include at least two new summative evaluations occurring at each promotion (assistant to associate and associate to professor).

The responsibilities of University Libraries Teaching and Learning Committee are as follows:

- To coordinate the periodic review of the for-credit teaching of probationary tenure-track and professional practice faculty during the years of service before the commencement of the tenure review, promotion review, or reappointment review with the goal of assessing teaching at all the levels of instruction (including in-person and online) for which the faculty member is an instructor of record and of having at least two peer reviews of teaching before the commencement of a tenure and promotion review. Should a faculty member only teach one for-credit course during the review period, only one peer review will be required.
- To coordinate the periodic review of the for-credit teaching of tenured associate professors and non-probationary professional practice associate professors with the goal of assessing teaching at all the levels of instruction (including in-person and online) for which the faculty member is an instructor of record and of having at least two peer reviews of teaching before the commencement of a promotion review. Should a faculty member only teach one for-credit course during the review period, only one peer review will be required.
- To coordinate the periodic review of the for-credit teaching of tenured professors and non-probationary professional practice professors with the goal of assessing teaching at all the levels of instruction (including in-person and online) for which the faculty member is an instructor of record. Such evaluation can take the form of peer review without a formal written evaluation.

Periodically scheduled peer teaching evaluations for the purposes of promotion and tenure, reappointment reviews, or promotion reviews (the first two situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. 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.

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 evaluation, the reviewer meets with the candidate to give feedback and also submits a written report to the Dean, copied to the candidate. The candidate may provide written comments on this report. The reports and any comments are included in the candidate's promotion and tenure or promotion dossier.

Issued: 03/10/2011

Revisions adopted: 12/6/2019,

OAA approved: 12/10/2019,

Ohio State University Libraries faculty approved 12/4/2023

OAA approved: 3/10/23