

**Appointments, Promotion and Tenure Criteria and Procedures**  
**Department of Mathematics**  
**Revised: May 26, 2015**

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## **APPOINTMENTS, PROMOTION, AND TENURE**

### **Criteria and Procedures for the Department of Mathematics**

January 20, 2015

#### **I. PREAMBLE**

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu/university/facultyrules>); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook (<http://oaa.osu.edu/handbook.html>); 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 Mathematics department will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the department chair.

This document must be approved by the dean of the College of Arts and Sciences 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 (<http://trustees.osu.edu/university/facultyrules>) 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 (<http://trustees.osu.edu/university/facultyrules>) and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's policy on equal opportunity (<http://hr.osu.edu/policy/policy110.pdf>)

## II. DEPARTMENT MISSION

The mission of the Mathematics Department is to produce research in mathematics at the level of the best universities worldwide, to provide a comprehensive and challenging program for undergraduate majors and graduate students planning careers in mathematics or related fields, and to offer high quality mathematics courses to serve the rest of the university community.

## III. DEFINITIONS

### A. Committee of the Eligible Faculty

#### 1. Tenure Track Faculty

For the purpose of this document, a member of the *Math tenure-track faculty* is a tenure-track faculty member who holds at least a one-half time appointment in the Department of Mathematics and whose Tenure Initiating Unit (TIU) is the Mathematics Department. The *extended Math tenure-track faculty* includes all tenure-track faculty members at The Ohio State University who have a non-zero joint appointment in Math.

The eligible faculty for appointment reviews of tenure track faculty consists of all tenure track faculty whose TIU is the department.

The eligible faculty for reappointment, promotion and tenure, and promotion reviews of tenure track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

In this document the term DB (or Deliberating Body) will refer to those faculty eligible to participate in any promotion or tenure considerations.

#### 2. 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 a conflict of interest will be expected to withdraw from a promotion review of that candidate e.g. not participate in DB discussion or vote.

#### 3. Voting

In Promotion and Tenure Decisions only those who have been at the appropriate meeting of the DB discussing candidates, in person or electronically, shall be allowed to vote.

In any vote by the DB not involving the recruitment process, three (3) working days will be allowed for the casting of ballots. In recruitment cases, the Chair may shorten the voting period to one or two days when a candidate for a position has impending deadlines. Voting by the DB may also be done using an online voting system in cooperation with the computer support staff.

#### **4. 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.

#### **B. Promotion and Tenure Committee**

The department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty (DB) in managing the personnel and promotion and tenure issues. This is the Committee for the Evaluation of Non-Tenured Faculty (CENT). Note that:

- a) The committee consists of eight (8) members of the DB, of whom three are elected each year by the CENT DB for two year terms, with the remaining two (2) appointed by the Chair of the Department for one year terms. Terms begin in Spring Semester.
- b) The Election Committee arranges for the nomination and election of CENT.
- c) In making appointments to CENT the Chair will try to balance the committee in terms of the mathematical specialties represented. After consulting with the Advisory Committee and other members of the DB and considering the results of the election process, the Chair will appoint two (2) faculty to CENT.
- d) Members of CENT elect their own Chair.

#### **C. Quorum**

A meeting of the DB will be considered to have a quorum if at least 50% of the members of the DB (eligible faculty) not on leave from the Columbus and Regional Campuses at the time of the meeting are present. 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 members who recuse themselves because of a conflict of interest are not counted when determining quorum.

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

In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are not votes, and in computing the percentage of favorable votes received by a candidate, the ballots of faculty who abstain on the particular candidate will not be included.

Faculty members are strongly encouraged to consider whether they are participating fully in the review process when abstaining from a vote on a personnel matter.

Absentee ballots and proxy votes are not permitted.

##### 1. Appointment

The Advisory Committee is a (mostly) elected faculty committee, representative of the tenure-track faculty whose TIU is in the Math Department, and it makes recommendations on tenure track faculty appointments with input from the tenure-track faculty whose TIU is in the department. Nine or more positive votes out of twelve is considered a positive recommendation for a faculty appointment.

##### 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 60% of the votes cast are positive.

### **IV. APPOINTMENTS**

#### **A. Criteria**

##### **1. Tenure track faculty**

**Assistant Professor.** A PhD degree in Mathematics 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. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

**Associate Professor and Professor.** Appointment 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.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.

## **2. Regional campus faculty**

In accord with the mission of the regional campuses relatively greater weight will be placed upon teaching excellence in the evaluation of applicants for a position. However, such a person must still be involved in some recognized form of scholarly activity in mathematics.

## **3. Associated faculty**

Associated faculty are persons with adjunct titles, visiting titles, and lecturer titles; also professors, associate professors, assistant professors who serve on appointments totaling less than fifty percent service to the university. Persons with tenure-track faculty titles of greater than fifty percent may not hold associated faculty titles. Persons holding associated faculty titles are not eligible for tenure, may not vote at any level of governance, and may not participate in promotion and tenure matters.

**Zassenhaus and Ross Assistant Professors** Zassenhaus and Ross Assistant Professors (abbreviated as ZAPs and RAPs) are compensated associated faculty with Visiting Assistant Professor appointments. Zassenhaus and Ross Assistant Professors are appointed annually for up to three years, subject to normal review. Appointments to these positions are made to very promising mathematicians who have very recently completed their Ph.D. degrees. Candidates for either position are expected to have demonstrated potential for excellence in research and teaching, though the emphasis will be on research excellence for appointment to Zassenhaus Assistant Professorships and on teaching excellence for appointment to Ross Assistant Professorships. Appointments of visiting faculty may not exceed three consecutive years.

**Hybrid faculty** Hybrid faculty are associated faculty with tenure-track titles with an appointment of less than 50% FTE, combined with a staff position. An earned doctorate in a relevant field of study is the minimum requirement for appointment to an associated faculty appointment. Hybrid faculty are usually appointed for some specific instructional purpose, and are chosen for their particular expertise in fulfilling that purpose.

Hybrid faculty are not eligible for tenure, but may be promoted in the faculty portion of their appointment.

**Lecturers** Appointment as lecturer or senior lecturer requires that the individual have, at a minimum, a Master's degree in Mathematics, and present evidence of ability to provide high-quality instruction. Lecturers or senior lecturers are not eligible for tenure, but may be reappointed. The initial appointment for a lecturer should generally not exceed one year.

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments are either compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the department, such as teaching a course, 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.

#### **4. Courtesy appointments**

Courtesy appointments are no-salary appointments for tenure-track Ohio State faculty from other tenure-initiating units. A courtesy appointment shall be based on an expectation of the appointee's substantial involvement in the Mathematics Department; continuation of the appointment should reflect ongoing contributions. Unlike associated appointments, courtesy appointments do not require formal annual review.

### **B. Procedures**

#### **1. Tenure track faculty**

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 be consistent with the university policies set forth in the most recent update of A Guide to Effective Searches. (see [www.hr.osu.edu/hrpubs/guidesearches.pdf](http://www.hr.osu.edu/hrpubs/guidesearches.pdf)).

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.

National searches to fill all tenure track positions in the Department of Mathematics will be conducted by the departmental Advisory Committee through its Recruitment Committee(s) (as discussed in Section 5B of the POA). All tenure-track faculty members are expected to contribute to the process of identifying outstanding candidates for open positions in the department and calling them to the attention of the Advisory Committee.

Candidates for positions as Assistant Professor or non-tenured Associate Professor are responsible for generating the documentation of their cases for appointment. Such documentation must include a vita and at least three substantive external recommendation letters, one of which addresses teaching quality. Candidates may provide the Recruitment Committee(s) with further evidence of excellence in teaching, research, or service if they so desire. Documented candidates recommended by the Recruitment Committee(s) will be discussed in open meetings of the Advisory Committee that are announced to the tenure-track faculty in advance. After discussion the Advisory Committee, voting by secret ballot, will assemble a short list of candidates to be invited to come to campus for an interview

## Appointments, Promotion and Tenure

During the campus visit each candidate will give a recruitment talk and meet with members of the department as well as the dean or an associate dean of the College of Arts and Sciences. After the campus visit the Advisory Committee will discuss the candidate at a meeting which every member of the Columbus tenure-track faculty is expected to attend and will consult those in attendance to gauge faculty support before proceeding with a final vote. The Advisory Committee will vote by secret ballot on each candidate to decide whether s/he meets the criteria for the position. Nine or more votes shall constitute a positive recommendation. If more than one candidate receives a positive recommendation, the Advisory Committee will rank order the qualified candidates.

The department chair will compose a letter of offer to the top candidate for approval by the dean of the College of Arts and Sciences. If a candidate declines an offer, the Advisory Committee may choose to reorder the list of remaining candidates or to invite additional candidates to campus before another offer is made.

Established mathematicians identified as promising “targets of opportunity” for tenured, senior level appointments will be discussed by the Advisory Committee in meetings open to the tenure-track faculty and announced in advance. After discussion, the committee will decide by secret ballot whether to document the nominee. If documentation is approved, the committee normally will select at least five (5) and at most eight (8) external referees of high standing in the applicant's research area and request that the chair solicit evaluations of the applicant's research contributions. For candidates to be approved for senior level appointments, evidence of teaching ability must be presented. This documentation must be a part of the appointment package from the department. If teaching evaluation documentation is not available, an appointment may be made without tenure, with a deadline being indicated in the appointment letter as to when the tenure decision will be made (but not to exceed four years after the initial appointment). Candidates may provide the committee with further evidence of excellence in teaching, research, or service if they so desire. When full documentation is available, the committee will decide by secret ballot whether to recommend that the applicant be invited to visit campus to give a recruitment lecture and meet with the dean. After an applicant has visited campus, the committee will decide by secret ballot whether to recommend an offer of a position to the applicant. The chair may request that the committee rank order by secret ballot a list of several candidates who receive a positive recommendation.

If a candidate is recommended by the Advisory Committee and is at the level of tenured associate professor or above, then the DB must also approve the qualifications of the candidate for the proposed rank. The voting procedures in this case are outlined in Section VI B.2 below

If the College of Arts and Sciences dean approves the department chair's recommendation to offer an associate or full professor position to a candidate, the recommendation will be sent to the provost for approval. If s/he approves, the department chair will notify the candidate in a formal offer letter. The department acknowledges that offers to foreign nationals require prior consultation with the Office of International Affairs. The university does not grant tenure in the absence of permanent residency status. The department will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

## 2. Tenure track faculty at regional campuses

Searches for regional campus faculty in mathematics will be performed by a search committee appointed by the dean of the regional campus after consultation with the department chair. The committee shall contain at least one member from the Columbus campus Department of Mathematics. One member shall be designated the diversity committee member. The position will be advertised by the regional campus dean, after consultation with the department chair regarding suitable descriptions of the available position.. Applicants for positions on the Columbus Campus may be queried as to their availability for positions at regional campuses and each regional campus search committee will be apprised of the applicants who indicate such availability. The committee will recommend a short list of not more than five candidates. Those candidates will be invited to Ohio State Columbus Campus to meet faculty and make a presentation. The dean or an associate dean of the College of Arts and Sciences will also interview the candidates. The search committee will present a rank ordered list of the candidates it deems acceptable for an Ohio State faculty position to the department chair and the regional campus dean. Both of these must agree before an offer can be made.

## 3. Associated faculty

**Zassenhaus and Ross Assistant Professorships** The availability of Zassenhaus and Ross Assistant Professorships will be advertised nationally each Fall. Completed applications for these positions will be made available to the tenure-track faculty for perusal. In the Fall Semester, the Advisory Committee will request nominations from the faculty of particularly strong applicants who fit well in the department. A curriculum vita, evidence of good teaching skills, and at least three external letters of recommendation, one of which addresses teaching quality, must support each nomination. After discussion of each candidate in a meeting open to tenure-track faculty and announced in advance, the Advisory Committee will rank order candidates for the available positions, giving more weight to specific research projects and expertise that may be useful to the research of a member of the faculty, and the chair will recommend the top candidates to the dean of the College of Arts and Sciences for appointment. In special circumstances the Advisory Committee can approve the hiring of Zassenhaus or Ross Assistant Professors outside of this process.

**Hybrid Faculty** When a new hybrid hire has been authorized by the Dean with new funds designated for such a position, the Chair will appoint a search committee consisting of a Vice Chair and two tenure-track faculty. An earned doctorate in a relevant field of study is the minimum requirement for appointment to an associated faculty appointment. Hybrid faculty are usually appointed for some specific instructional purpose, and are chosen for their particular expertise in fulfilling that purpose. In most cases the department will simply reallocate its existing resources and, with approval of the Advisory Committee, can simply “promote” a member of the department, such as a qualified existing long-term lecturer to a hybrid position, in order to fill a departmental need. A Vice Chair or the Chair of the Math department can propose the consideration of a long-term lecturer for such a position.

In the case in which a new position has been authorized with new funds, the Advisory Committee will evaluate the candidates proposed by the search committee and rank order the

candidates it deems appropriate for the hybrid position. The Chair will recommend the top-ranked candidate to the dean of the College of Arts and Sciences for appointment. In the case in which the department simply reallocates its own resources, it will simply examine the qualifications of a candidate proposed by a Vice Chair or the Chair of the Math department.

**Lecturers** Lecturers are hired on an annual or semester by semester basis by the Chair or Administrative Vice Chair in consultation with other Vice Chairs, the Director of Undergraduate Instruction, or the extended tenure-track faculty as needed.

Associated appointments at the senior level require approval of the OAA.

In cases of associated faculty appointed to a year or less, a decision for nonrenewal would occur either by an absence of a request for renewal or by a negative recommendation from the department chair. Nonrenewal could also be affected by a negative decision of the College of Arts and Sciences dean. Associated faculty with multiple year appointments are reviewed annually by the department chair, or designee. The department chair, or designee (e.g. IIEC-VAP), prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department chair's recommendation on reappointment is final.

#### **4. Courtesy appointments**

A courtesy (no-salary) appointment can be initiated by any individual faculty member in the Department of Mathematics. This requires a complete curriculum vita and nomination letter to the department chair indicating why the appointment is appropriate. The letter should include a statement indicating the expected contributions of the nominee to the Department of Mathematics. The Advisory Committee in open meetings will discuss all such nominations. If the Advisory Committee approves the appointment (nine positive votes are required for approval), the appointment will go into effect. Once appointed, a courtesy appointee shall be reviewed by the Chair every five years to determine if the reasons for the appointment are still in force. The Chair can reappoint the faculty member for another period of five years or terminate the courtesy appointment.

Termination of a courtesy appointment can also be initiated by a faculty member, in a recommendation to the Chair. The Advisory Committee must then approve it. Termination could be based on nonsatisfaction of the departmental expectations for the holder of the courtesy appointment but could also result from other departmental criteria for such appointments. If the chair concurs with the Advisory Committee's termination recommendation, the termination is effected.

#### **V. ANNUAL REVIEWS PROCEDURES**

The procedures of the Department of Mathematics regarding probationary tenure track faculty are consistent with the Faculty Rules 3335-6-03.

### **A. Probationary tenure track faculty**

At the time of appointment, the Chair of the Department of Mathematics will provide all departmental probationary faculty members with all pertinent documents detailing department, college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided with copies of the revised documents by the chair.

The Committee for the Evaluation of Non-Tenured Faculty (CENT) will handle the cases of probationary assistant professors. The Promotion Committee for Professorship (PROCOMP) shall handle the cases of probationary associate professors and probationary full professors.

During a probationary period probationary faculty shall be reviewed annually, normally in Spring Semester. The annual review will encompass the faculty member's performance in teaching, in scholarship, and in service, as well as evidence of continuing development. External evaluations of a faculty member's work, required for tenure and promotion reviews, will not be solicited by the Mathematics Department for the fourth year review of a probationary assistant professor. The chair shall inform probationary faculty members at the time of initial appointment, and in a timely fashion each year thereafter, when the annual review will take place and provide a copy of the Office of Academic Affairs' dossier outline to be completed by the faculty member in reporting accomplishments to date. Probationary faculty members will also be invited to update curriculum vitas and add to their personnel files additional information (e.g. teaching evaluations) relevant to the annual review.

As part of the review process, CENT or PROCOMP will review the personnel file of each probationary faculty member and invite all members of the relevant Deliberating Body (DB) to submit recommendations to consider non-mandatory promotion and tenure cases, non-mandatory tenure cases, or for non-renewal cases. After considering responses and reviewing available documentation, CENT or PROCOMP will make recommendations to the relevant DB concerning consideration of these cases and will meet with the relevant DB to discuss these recommendations.

DB recommendations to consider non-mandatory tenure and promotion cases or non-mandatory tenure cases, will be determined by a majority vote among those DB members casting ballots on the issue. This vote will take place after discussion in a DB meeting announced in advance to all DB members and open to those members. A DB recommendation to consider a non-mandatory promotion and tenure case or a non-mandatory tenure case will result in expansion of the annual review for the candidate to a review as described in Section VI. The DB may prohibit the review of a non-mandatory promotion case only one time. A DB recommendation to consider a non-renewal case will result in a formal performance review conducted in accord with fourth year review procedures. In all other cases, CENT or PROCOMP will provide a written assessment of the probationary faculty member's performance and professional development to the department chair.

At the completion of each annual review the department chair shall consult with CENT or PROCOMP and provide the faculty member and the College of Arts and Sciences dean with a

written assessment of the faculty member's performance and professional development and an indication as to whether the faculty member will be reappointed for an additional year. The assessment should include both strengths and weaknesses, as appropriate. The letter from the chair, as well as the report from CENT or PROCOMP, will be forwarded to the College of Arts and Sciences dean. The chair's letter and the CENT or PROCOMP report can be merged into one single document. All annual review letters to date shall become a part of a faculty member's dossier for subsequent annual reviews during the probationary period, including the review for tenure or tenure and promotion.

### **1. Probationary tenure track regional campus faculty**

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

### **2. Fourth-Year Review**

The fourth year review of probationary assistant professors shall follow the same process as the review for tenure and promotion at the departmental and College of Arts and Sciences levels with the exception that there will be no solicitation of external letters for the review. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the dean of the College of Arts and Sciences. Before reaching a negative decision or a decision contrary to the department's recommendation, the dean must consult with the College of Arts and Sciences promotion and tenure committee.

### **3. Exclusion of Time**

Faculty rule 3335-6-03 provides for time to be excluded from the probationary period for birth or adoption of a child under six years of age, personal illness, care of sick or injured person, or other factors beyond a faculty member's control that significantly interfere with productivity. Exclusion is guaranteed in the case of the birth or adoption of a child under six, but may be declined. Exclusion for other reasons must be approved (see Faculty rule 3335-6-03). The department may not require a faculty member to apply for excluded time.

### **B. Tenured faculty**

The Department of Mathematics annual review procedures will be consistent with Office of Academic Affairs policies described in the Office of Academic Affairs Policies and Procedures Handbook. In the Department of Mathematics, annual reviews of tenured faculty will be carried out by the department chair with assistance from the Salary Committee, in the process of establishing merit salary increases (see below). The department chair will provide each tenured

faculty member with a brief written annual review. A meeting of the chair --- or one of the vice-chairs --- and the faculty member to discuss the annual review is required.

### **C. Tenured regional campus faculty**

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

### **D. Associated faculty**

The Chair will request written evaluations of teaching by the Instructional Improvement and Evaluation Committee (IIEC-VAP) and a summary report by the appropriate faculty mentor annually. Using this documentation, the Chair in consultation with the Vice Chair for Undergraduate Studies will decide if reappointment is appropriate

The Chair will request annual written evaluations of hybrid faculty by a tenure-track faculty member appointed by the Chair. Hybrid faculty will be asked to submit annual activity reports, similar to the annual activity reports required of extended tenure-track faculty, to aid in these evaluations.

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

### **A. Compensation philosophy**

The college's strategic Plan and the Department's Strategic Plan will be taken as convenient shorthand for the commonly held goals of academic excellence shared by the Mathematics Department. The Department of Mathematics will distribute its financial resources, including salary, in order to further its progress toward the goals in the departmental Strategic Plan. The Department seeks to compensate individual members of its faculty in accordance with each individual's contribution to the Department's progress toward these goals.

The purpose of the salary process is to adjust salaries of the faculty in order to reflect their changing contribution to the Department's mission. The overall goal of this process is to attract, motivate, and retain the highest performing faculty in the Department.

The compensation procedures described below pertain to the tenure-track faculty on the Columbus campus. Salary raises for Zassenhaus Assistant Professors, Ross Assistant Professors, and Lecturers are decided by the Administrative Vice Chair. Salary raises for hybrid faculty are decided by the Executive Committee.

### **B. Salary Committee Criteria**

## Appointments, Promotion and Tenure

Faculty will be evaluated on the quality and the impact of their performance in the areas of research, teaching, and service.

The Salary Committee and the Chair will serve as representatives of both the Department and the wider mathematical community, using the objective criteria below as the basis for their evaluation, but allowing common professional standards and their own knowledge about the activities being evaluated to inform their overall assessment.

*Research.* The Department holds high-quality mathematical discovery, the connection of these new results to the rest of mathematics, and their applications to other disciplines, as core values. The following criteria are acknowledged as partial indicators of the quality and impact of a faculty member's research: the quality of professional journals in which research is published; grants awarded by external funding agencies; prizes and honors bestowed by the mathematics community; invited talks at other mathematical institutions and conferences; citations of papers in the published work of other mathematicians.

To meet expectations in teaching and service, a faculty member should have significant involvement in either the graduate program or the Math undergraduate program. Involvement in these two programs has aspects that should be regarded as contributions to teaching, and aspects which should be regarded as contributions to service.

*Teaching.* The Department expects all faculty members to be deeply engaged in teaching mathematics to its students and to the wider community. Directing undergraduate research projects and graduate and undergraduate theses are very important aspects of this activity.

Additional evidence of an individual's engagement in teaching and communication activities include curricular development and course redesign, publication of textbooks, organizing summer schools and conferences for graduate students, developing innovative ways to both grade and provide feedback to students in our basic courses, publication of articles about mathematics in the popular press, and experimentation with novel methods of classroom instruction.

Students' evaluation of instruction, through the SEI forms, may also be used in the discussion of a faculty member's teaching endeavors. The SEI forms measure student satisfaction in a course, and thereby serve as an indirect measure of the impact and effectiveness of the teaching done in this course. Peer-reviews of instruction and teaching awards (outside and within OSU) may be used in a similar way to gauge teaching performance.

*Service.* The Department expects its faculty to execute their share of the administrative duties needed to run the Department, College, and the University. Special emphasis will be given to faculty service related to the smooth operation of our Graduate and Undergraduate Programs, for example, advising and recruiting students and organizing activities that benefit these two programs.

Beyond these local responsibilities, the following activities are acknowledged benchmarks of high-quality professional service: editorship of professional journals; election or appointment to

leadership positions in professional organizations; membership on scientific advisory Boards; membership on review Boards for external awards, for scientific organizations or societies, and for external mathematics departments; administration of organizations dedicated to the funding, dissemination, or support of mathematical enterprise.

### **C. Salary Committee Procedures**

The annual activity reports as well as the Chair's annual review letters and individual responses to these review letters will be made available to the members of the Salary Committee. Each member is to read all of these documents. The reports will also be distributed as evenly as possible, and in a random fashion, to the members of the committee. The committee member receiving the file of a given faculty member will be responsible for summarizing the file to the committee (research productivity, classes taught and student responses, service work, etc.).

If a faculty member does not submit an annual activity report, the Salary Committee may decide that it lacks sufficient information to evaluate the performance of that faculty member. In such a case, the Chair may recommend to the Dean a zero percent salary increment for that individual.

At the beginning of the Salary Committee's deliberations, the Chair will inform the committee of the anticipated raise pool if it is known. During the meeting(s) of the Salary Committee, each tenure-track faculty member not on the Committee will be discussed and the discussion will start with a summary of the faculty member's file by the associated committee member. These discussions will be conducted in groups dictated by the rank of the faculty member.

The distribution of the merit based portion of the raise pool will be determined as follows: Each member of the Salary Committee will rate each member of the faculty not on the committee according to the three basic duties of the faculty member: Research ("R"), Teaching ("T"), and Service ("S"), in a scale of 1 to 9, where 9 indicates the highest level of performance in each category. The ratings of all committee members will be summed to give the total score in each category which will range from 8 to 72.

Faculty members in the top salary quartile will be held to a higher standard in terms of meeting departmental expectations. Additionally, the Salary Committee may, at its discretion, relax the standards for those assistant professors beginning a new research program.

The ratings in each category will then be summed to obtain the total score of the colleague in that category according to the following algorithm:

$$\text{Total} = .5R + .3T + .2S.$$

This total will then be used to compute the Committee's recommendation for the merit component of the percentage raise of the colleague. Two points should be noted:

1. A faculty member can request the Chair to have the above algorithm changed for the *next* salary year because of a distribution of duties that emphasizes more teaching or service.

Given the demands of their office, the Chair shall evaluate the vice chairs largely on the basis of the quality of their administrative work (which lies in the Service area). For vice chairs, then, the following formula will be used:  $Total = .1R + .3T + .6S$ . A faculty member whose duties have shifted over time towards teaching and service, may have his or her formula changed by the Chair to reflect the new distribution of duties. The expectation is that if teaching and service have more weight in the formula, the faculty member also provides a larger share of his or her time to teaching and service. The Chair will discuss such a change with the faculty member, ideally at the time of the annual review of the faculty member's performance.

When the ratings work is finished the Committee may recommend a group of faculty members for an Excellence or Equity raise.

After all of this information is conveyed to the Chair, the Chair will make recommendations for salary raises based on the salary committee scores and recommendations of the Salary Committee for equity or excellence adjustments. The Salary Committee will have a final meeting to discuss these proposed recommendations of the Chair. At this meeting the Salary Committee will be able to discuss possible changes to the raises proposed by the Chair and the Chair will have an opportunity to respond to requests for changes. A substantive disagreement ideally would be handled by the Salary Committee voting to request the Chair to make a change. The Chair is expected to explain at this meeting his or her reasons for deviating from the recommendations of the Salary Committee. If no request for change is made e.g., the Salary Committee does not reach consensus to make such a request, the new recommendations made by the Chair will supersede previous (preliminary) recommendations of the Salary Committee in the salary process.

The Chair will make the final salary recommendations to the Dean based on the discussion at this final meeting.

The Chair will make salary recommendations for the members of the salary committee in line with those of the rest of the faculty.

The Chair shall give an informative evaluation of the faculty member's recent performance in the annual letter of review and before the Salary Committee deliberations. Furthermore the faculty member will be informed that they have the right to respond to the annual letter and have their response be included with the Chair's annual review letter for consideration in the Salary Committee deliberations.

#### **D. Criteria for merit increases**

The criteria for merit salary increases in the Department of Mathematics will be excellence in research teaching and service with relative weights as already described. Excellence in research is documented by publications in highly respected journals, research grants, and invited talks. Excellence in Teaching and Service assume a significant involvement in the Graduate and Undergraduate Programs, advising graduate students to completion of a PhD or Masters thesis, or directing undergraduate theses or undergraduate research projects. Other criteria given

consideration will include quality of teaching, as documented by student and peer evaluations, the amount of undergraduate teaching performed, curriculum development, and supervision of graduate students, and exceptional service to the department, college, or university. A faculty member may negotiate with the Chair a different type of workload that will then become the basis for their evaluation for salary increases for a period of time (at least one year). This may involve, for example, substantial service, coordination of a lower division course, the design of a new course to attract students to the department, being involved in recruitment of undergraduate students, or a higher teaching load.

### **E Procedures**

The Chair will solicit documentation (see below) from every probationary and tenured faculty member during Spring Semester. The chair will review the documentation with the help of the Salary Committee to determine merit salary increases. Faculty who submit insufficient documentation to permit an informed evaluation may be denied merit increases. Once the department's recommended increases have been established, the chair and the Divisional Dean will negotiate final adjustments.

### **F. Documentation**

The Chair will request that each tenure-track faculty member complete a departmental annual activity report detailing contributions to research, teaching, and service. Probationary tenure track faculty must follow the promotion and tenure dossier outline prepared by the Office of Academic Affairs to record their performance for annual reviews and for salary determination. These annual report forms/dossiers become a part of each individual's permanent personnel file. Faculty members may also submit any other documentation that indicates contributions to research, teaching, or service. The quality indicators listed for promotion and tenure in Section VI, excepting external evaluations, will be applicable to merit salary increase considerations. Regional campus faculty will be evaluated in accord with procedures of their regional campus. The regional campus dean will consult the department chair before the raise determination is finalized.

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

According to Faculty Rule 3335-6-02 (D):

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

## **A. Criteria**

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

The awarding of tenure and promotion to the rank of associate professor in the Department of Mathematics 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 department, to the College of Arts and Sciences, and to the university.

Excellence in research involves making significant advances in our knowledge in some branch of mathematics and disseminating that knowledge through publications and talks at conferences and seminars. It may also involve maintaining and enhancing the flow of information between mathematicians and those in the scientific community who are consumers of new mathematical discoveries or who stimulate new avenues of mathematical research.

At any level, excellence in teaching involves communication of mathematics in a thoughtful, stimulating, and effective manner. Excellence in teaching graduate students involves presenting new developments in the field, offering a solid basis in the fundamentals of mathematics, and supervising graduate student research. Excellence in teaching undergraduate majors involves designing, updating, and presenting courses of study that prepare students for a range of possible careers involving the mathematical sciences and supervising undergraduate research projects. Excellence in teaching non-majors involves effective and engaging presentation of mathematical content in the classroom. This may also include design and monitoring of courses and working with other departments to assure that these courses are meeting the needs of the students and departments that they serve.

Effective service involves serving responsibly on committees within our department, college, and university. This may also include advising students, serving on professional committees, refereeing for journals and funding agencies, and evaluating colleagues at other universities on request.

In the Department of Mathematics and consistent with Faculty Rule 3335-6-02 tenure will not be awarded below the rank of associate professor.

### **2. Promotion to rank of professor**

Promotion to the rank of professor in the Department of Mathematics should be based on convincing evidence that the faculty member has produced a significant body of scholarship that is recognized both nationally and internationally; has a sustained record of excellence in teaching; and has demonstrated leadership in service, both within the university and in his/her area of scholarship.

## Appointments, Promotion and Tenure

With respect to teaching and service, it is expected that a candidate for promotion to professor will have demonstrated very serious involvement with our graduate or undergraduate programs. Evidence of such involvement is given by (but not limited to) the following: 1. Directing and producing PhD's; 2. Advising Master's theses and undergraduate theses; 3. Overseeing independent study courses or undergraduate research; 4. Curriculum development or revision; 5. Teaching the more difficult graduate courses.

Normally, the primary criterion for promotion to the rank of professor in the Mathematics Department is a distinguished record of scholarly activity and promise that such activity shall continue. However, the Department also recognizes that a career may have various stages and may shift in focus from scholarly activity to teaching or administrative service, while still combining to form a very productive and distinguished career. A faculty member who has made truly extraordinary contributions in the areas of teaching or service may warrant promotion with a less extensive, though excellent, record of continued productivity in research.

### **3. Regional campus faculty**

In accord with the mission of the regional campuses relatively greater weight will be placed upon teaching excellence in the evaluation of regional campus faculty. In cases concerning regional campus faculty, it may be judged desirable to recommend promotion and tenure for a colleague who is involved in creative teaching activities that go beyond excellent performance in teaching assignments. However, such a person must still be involved in some recognized form of scholarly activity in mathematics.

### **4. Associated Faculty**

Associated faculty (adjunct faculty and those with professorial titles of less than 50% time) are not eligible for tenure, but may be promoted to Associate Professor or Professor in the faculty portion of their appointment. The relevant criteria are those for promotion of tenure-track faculty, taking into account that the appointment is fractional and that the teaching load may be higher relative to the fractional appointment. These positions, especially those that are combined with a staff role ("hybrid positions") usually have specific goals which are related to departmental instructional needs, and accordingly the standards for promotion for the faculty portion of the appointment will reflect the goals set out in the individual's letter of offer. Hiring and promotion of hybrid faculty is overseen by the AC.

## **B. Procedures**

### **1. Promotion to the rank of associate professor with tenure (*including Regional Campus faculty*)**

All members of the DB will review candidates for promotion to the rank of associate professor and tenure. The department will have a representative committee, CENT, to perform the initial screening of the candidates, to document the relevant cases, and to present the cases to the DB. CENT meetings will be open to all members of the DB and will be announced in advance.

## Appointments, Promotion and Tenure

The Instructional Improvement and Evaluation Committee (CENT-IIEC) will assist CENT in documenting the teaching qualifications of the candidates (see section X).

CENT will review annually, during Spring Semester, the personnel file of each faculty member of the department with the rank of assistant professor to determine those faculty who will be recommended to the DB for detailed promotion and tenure review during the subsequent Autumn Semester.

As part of this process CENT will invite all members of the DB to submit nominations for tenure and promotion. After receiving responses from the faculty, CENT will make also recommendations to the DB concerning documentation of non-mandatory cases for promotion and tenure. CENT will meet with the DB to discuss these recommendations. Following discussion, the DB will determine, by a majority vote among members who cast ballots on the issue, whether or not to proceed with a detailed review of a non-mandatory case.

In the sections that follow, those faculty members approved by the DB for detailed review, as well as those undergoing a mandatory review, will be referred to as the "candidates." A detailed review will consist of an assessment of the candidate's scholarly accomplishments, teaching, and service and will include evidence from experts in the field of interest and reports of the IIEC. Candidates will be promptly informed that they will be subject to a detailed review.

CENT will request from each candidate a current dossier, prepared according to Office of Academic Affairs' guidelines, and copies of reprints and preprints of scholarly activity. CENT will be responsible for verifying citations and other aspects of the candidate's dossier.

The candidate will be invited to add other supplementary materials to their personnel file. Consistent with College of Arts and Sciences and OAA guidelines the candidate will be requested to provide a complete collection of results of SEI forms reflecting the level of student satisfaction with the candidate's teaching. Procedures for administration of SEI forms are described in the subsection "Documentation" below.

Normally in Summer Term, letters of evaluation will be solicited by the department chair from experts selected by CENT from potential referees suggested by the candidate and by members of the DB. Before the solicitation is made the candidate will be shown the list of potential referees for comment. The solicitation will be made so as to ensure that at least five (5) letters are received and that the majority of letters received are from reviewers not suggested by the candidate. If some experts decline to write, replacement referees may be selected by CENT. All reviewers must be arms-length. Evaluators will be provided with copies of the vita, publication list, all preprints of manuscripts submitted by the candidate, up to five (5) reprints selected by the candidate, and any other material CENT deems appropriate. CENT will also assemble teaching and service documentation, including annual CENT-IIEC evaluations, and student evaluations and other documentation submitted by the candidate.

If a candidate renders primary service on a Regional Campus the dean and director of that campus will also be notified that the candidate is under review and be asked to provide a written evaluation of the candidate's contributions to the mission of the Regional Campus.

When documentation for a candidate is complete, usually in the middle of Autumn Semester, it will be made available to the DB in a central location. CENT will prepare and distribute to the DB a report assessing the strengths and weaknesses of the candidate's case for promotion and tenure. At a subsequent DB meeting, or meetings chaired by the department chair (or the chair's designate), CENT and members of the DB will deliberate about the qualifications of the candidate; the Regional Campuses will be included in these meetings via telecommunications.

Following the vote, CENT will revise its report on the candidate to reflect DB input during discussion of the candidate. The revised report will constitute the DB report called for in Faculty Rule 3335-6-04 (B) 4. After the DB vote, the chair of the department will prepare a letter of assessment and recommendation and submit it (after completing the process described in Faculty Rule 3335-6-04 (B) 5), along with the report from CENT summarizing the position of the DB and the vote of the DB, to the dean. If the chair recommends for promotion and tenure any candidate who received support of less than 60% of the voting members of the DB (or does not recommend any candidate who received support of more than 75% of the voting members of the DB), the chair's actions will be explained in a subsequent meeting of the DB.

## **2. Promotion to rank of professor (*including Regional Campus faculty*)**

All members of the DB shall review candidates for promotion to the rank of professor. The department will have a small subcommittee, PROCOMP, to perform the initial screening of the candidates, to document the relevant cases, and to present the cases to the DB. PROCOMP meetings will be open to all members of the DB and will be announced in advance.

Each tenured associate professor will supply PROCOMP with a complete vita including a list of publications, preprints of manuscripts, a list of courses taught, a history of involvement in course development, administrative service, professional service, students mentored to post-graduate degrees, and copies of published work and unpublished manuscripts and will be invited to add other supplementary material to their personnel file. During Spring Semester, PROCOMP will review the personnel file of each tenured faculty member of the department with the rank of associate professor and recommend to the DB documentation of tenured associate professors who are deemed to be candidates for promotion. PROCOMP will also document each associate professor who has completed three years in rank at Ohio State, who requests documentation, and who has not been documented during the preceding three years. The request for review will be made to the department chair.

In the Spring Semester, PROCOMP will also invite all members of the DB to submit written nominations for promotion to the rank of professor. A final decision about which cases are to be documented, other than those mandated in the previous paragraph, will be made by the DB in a mail ballot following a DB meeting(s), announced to the DB in advance, in which the merits of each nominated individual are discussed. Cases approved by majority vote among DB members casting ballots on the issue will be documented. The decision of the DB will be promptly

communicated to the nominees by the department chair. Tenured faculty members requesting documentation for promotion can only be denied a formal review by the eligible faculty one time.

Normally in Summer Term, letters of recommendation will be solicited by the department chair from experts selected by PROCOMP from potential referees suggested by the candidate and by members of the DB. Before the solicitation is made the candidate will be shown the list of potential referees for comment. The solicitation will be made so as to ensure that at least five (5) letters are received and that the majority of letters received are from reviewers not suggested by the candidate. If some experts decline to write, replacement referees may be selected by PROCOMP. All reviewers must be arms-length. Evaluators will be provided with copies of the vita, publication list, all preprints of manuscripts submitted by the candidate, up to five (5) reprints selected by the candidate, and any other material PROCOMP deems appropriate. The candidate shall have primary responsibility for preparing, according to Office of Academic Affairs' guidelines, a dossier documenting their accomplishments. PROCOMP will be responsible for verifying citations and other aspects of the candidate's dossier.

PROCOMP will also assemble teaching and service documentation including PROCOMP-IIEC evaluations, student evaluations, and other documentation submitted by the candidate (see section X).

If a candidate renders primary service on a Regional Campus the dean and director of that campus will also be notified that the candidate is under review and be asked to provide a written evaluation of the candidate's contributions to the mission of the Regional Campus.

When documentation for a candidate is complete, usually in the middle of Autumn Semester, it will be made available to the DB in a central location. PROCOMP will prepare and distribute to the DB a report assessing the strengths and weaknesses of the candidate's case for promotion. The DB will hold a meeting or meetings in which it will deliberate about the qualifications of the candidate. **N.B.:** The procedures for such a meeting, as well as the subsequent vote, are the same as those given above in Section III *mutatis mutandis*. After these meetings are completed, PROCOMP will revise its report on the candidate to reflect DB input during discussion of the candidate. The revised document will constitute the DB report called for in Faculty Rule 3335-6-04 (B) 4. Members of the DB shall vote on the promotion of the candidate and the result of the vote will be communicated promptly to the candidate by the department chair.

After the DB vote, the department chair will prepare a letter of assessment and recommendation and submit it (after completing the process described in Faculty Rule 3335-6-04 (B) 5), along with the report from PROCOMP summarizing the position of the DB and the vote of the DB, to the College of Arts and Sciences dean. If the chair recommends for promotion any candidate who received support of less than 60% of the voting members of the DB (or does not recommend any candidate who received support of more than 75% of the voting members of the DB), the chair's actions will be explained in a subsequent meeting of the DB.

### **3. Tenure for probationary associate professors and professors**

All members of the DB shall review probationary faculty with the rank of associate professor or professor. PROCOMP will document the relevant cases. The tenure review process for a probationary faculty member will parallel that described above for promotion to professor.

Each probationary associate professor or professor whose tenure review is not mandated by the Office of Academic Affairs may request a non-mandatory tenure review. Such a request must be directed to the department chair. Faculty members requesting such a review will supply PROCOMP with a complete vita including a list of publications, preprints of manuscripts, a list of courses taught, a history of involvement in course development, administrative service, professional service, copies of published work and unpublished manuscripts, and any supplementary material s/he wishes to provide. During Spring Semester, PROCOMP will review the personnel file of each such faculty member and recommend to the DB documentation of those who are deemed qualified for tenure.

In the Spring Semester, PROCOMP will also invite all members of the DB to submit written nominations for tenure for probationary associate professors or professors. A final decision about which non-mandatory cases are to be documented will be made by the DB in a vote following a DB meeting(s) in which the merits of each nominated individual are discussed. Cases approved by a majority of those voting will be documented. The decision of the DB regarding documentation will be promptly communicated to the nominees by the department chair.

#### **4. Off-cycle promotion and tenure, and faculty hiring involving tenure or a rank of Associate Professor or Professor.**

In some exceptional cases, a faculty member may be getting an external offer at a higher academic rank from another institution, and going through the standard promotion process for the purpose of generating a competitive counter-offer would not be practical. In these exceptional cases a streamlined off-cycle promotion process may be initiated by the Chair, in consultation with the Dean of the College of Arts and Sciences and OAA.

The documentation required in this streamlined off-cycle process will be a curriculum vitae of the candidate and at least five external letters from arms-length referees. The appropriate DB will discuss and vote on the case, and a letter from the Chair will summarize to the College the entire case for promotion (or for promotion and tenure) taking into account the discussion and vote of the DB. A letter from the chair of the appropriate committee, CENT or PROCOMP, will summarize the discussion and vote of the DB.

Off-cycle promotion and hiring at senior rank requires the approval of the college and OAA.

#### **5. Promotion of hybrid faculty**

The Advisory Committee will consider promotion cases of hybrid faculty. The AC will only consider the faculty portion of their appointment.

## Appointments, Promotion and Tenure

If appropriate, the AC can use standards which are similar to those for promotion of a tenure track faculty member, taking into account that the appointment is fractional and that the teaching load may be higher relative to the fractional appointment.

However since these positions usually have specific goals which are related to departmental instructional needs, the standards for promotion for the faculty portion of the appointment can take into account the goals for that position and emphasize excellence in teaching and service, and de-emphasize contributions in research. In case research is de-emphasized then expectations in teaching and service will include participation in undergraduate research; or participation in directing master's theses jointly with a tenure-track faculty member; or participation in the creation of new courses; or being a co-PI in substantial educational grants. The main criterion will be that the activities documented have taken place since the previous promotion and already have had a significant positive impact on graduate or undergraduate education in the Mathematics Department, well beyond ordinary classroom teaching.

A hybrid faculty member may be nominated for promotion by any tenured member of the Math tenure-track faculty of higher rank, or by the Chair, The AC will then decide whether or not to proceed. The process will take place in the AC but the AC may appoint a committee to help prepare the case. The AC will vote on the case and make a recommendation to the Chair. External letters will not be required.

It is expected that a case with at least 58% of positive votes in the AC will be recommended for promotion to the ASC administration by the Department Chair; and it is expected that a case with less than 58% of positive votes will not be recommended for promotion to the ASC administration by the Chair of the Department. If the Chair deviates from these expected outcomes, an explanation will be given to the AC.

### **C. Documentation**

#### **1. Teaching excellence**

The Department of Mathematics has a tradition of deep involvement in student instruction. It is expected that members of the department will continue this tradition. Teaching excellence requires a significant involvement in the Undergraduate and Graduate Programs.

Teaching quality indicators may include any or all of the following:

- Student evaluations:

In the interest of uniformity, the Department of Mathematics will request that faculty use online SEI forms to document student satisfaction with teaching for purposes of promotion or tenure reviews, annual reviews of probationary faculty, and annual merit reviews.

- Peer evaluations:

## Appointments, Promotion and Tenure

The Mathematics Department has a standing faculty committee, the IIEC, dedicated to providing faculty members with peer evaluation and feedback based on classroom observation of teaching. Reports from the IIEC provide each candidate's main source of peer evaluations of teaching quality.

- Instructional materials developed by the faculty member
- Awards for teaching excellence
- Descriptions of innovative approaches to teaching course material
- Indicators of student learning
- Candidate's self evaluation:

May include a statement of the candidate's approach to and goals for teaching, self-assessment, and description of specific strategies for improvement--past, current, and planned.

- Evidence of supervision of graduate or undergraduate research

### **2. Excellence in scholarship**

The primary criteria for measuring scholarly activity in the Department of Mathematics will be publication in highly respected research journals, external support for research activities, and invited talks. Research quality indicators may include any or all of the following:

- Reports of external evaluators
- Quality of journals in which research is published
- Reputation of conferences at which invited talks are presented
- Quality of institutions at which colloquium or seminar lectures are presented
- Level of support and reputation of granting agency providing external funding
- Awards for research excellence

### **3. Excellence in service**

The Mathematics Department expects all members of the department to conscientiously perform their share of the administrative responsibilities of the department, the College of Arts and Sciences, the university, and the mathematical profession, though the department attempts to

reduce such responsibilities for junior faculty. Service excellence requires a significant involvement in the Undergraduate and Graduate Programs.

Service quality indicators may include any or all of the following:

- Evaluations by colleagues and administrators
- Awards for service
- Election or appointment to leadership roles in service activities
- Satisfaction surveys completed by individuals affected by the service
- Quality of publications to which editorial or refereeing service is provided
- Reputation of mathematical organizations on whose boards the individual sits
- General attendance at faculty meetings, Deliberating Body meetings of CENT or PROCOMP as appropriate.

#### **4. Significant Involvement in the Undergraduate Programs and Graduate Programs**

Examples of significant involvement in the Undergraduate Program:

1. A faculty member who is active in advising several math undergraduate students, including supervising several undergraduate theses. This faculty member also has a leadership role, which is not necessarily an official role, in organizing activities for undergraduates (for example, suggesting speakers to students in the Math Club Radical Pi, or running a seminar attended by undergraduates). The faculty member participates in undergraduate recruiting activities.
2. A faculty member who is actively involved in advising several undergraduates, who are not necessarily writing a thesis. This faculty member is also actively participating in an undergraduate research experience program. Some of the students participate in the Denman Undergraduate Research Forum, and present research papers at conferences, possibly including the Young Mathematicians Conference. Examples of such programs for undergraduates are the RUMBA program in math biology, and the Summer Working Group in Knot Theory for Math majors.

Examples of significant involvement in the Graduate Program:

1. A faculty member actively is involved with two post-candidacy PhD advisees making good progress. The faculty member is also involved in the recruitment of graduate students.

2. A faculty member with one PhD student making good progress, and actively advising several masters students working on a thesis. The faculty member is also involved in the recruitment of graduate students and has a leadership role, not necessarily an official role, in the administration and organization of a masters program.

## **VIII. APPEALS**

Faculty Rule 3335-6-05 (A) sets forth general criteria for appeals of negative promotion and tenure decisions. Further detail on appeals alleging improper evaluation is contained in Faculty Rule 3335-5-05.

## **IX. SEVENTH YEAR REVIEWS**

Faculty Rule 3335-6-05 (B) sets forth the conditions of and procedures for a seventh year review for a faculty member in the Department of Mathematics denied tenure as a result of a sixth year review.

Student evaluation of teaching:

Consistent with College of Arts and Sciences and OAA guidelines, all faculty teaching in the Department will be required to use the e-SEI, reflecting the level of student satisfaction with her/his teaching. Faculty are encouraged to give students time in class in the last two weeks of the term to access the e-SEI in a mobile application.

Peer-reviews for probationary tenure-track faculty:

The chair of CENT-IIEC will insure that a representative selection of the courses taught by a non-tenured assistant professor on the Columbus campus will be observed by members of the CENT-IIEC. After visiting a class, the CENT-IIEC member will meet with the instructor to gain perspective on the overall structure and goals of the course, and will complete an evaluation of candidate's performance. A CENT-IIEC member will evaluate non-tenured assistant professors on regional campuses once each year. Further teaching evaluations of regional campus faculty members will be requested from the dean of the regional campus. All evaluations will be included in the faculty member's personnel file.

Peer reviews for associate professors:

It is the responsibility of the candidate to request peer evaluation of their teaching at regular intervals after their promotion to associate professor and for a representative range of courses. On request to the PROCOMP-IIEC chair, a committee member will be assigned to observe a class or classes taught by the candidate and to complete an evaluation of the candidate's performance. PROCOMP-IIEC teaching evaluations will become part of the candidate's personnel file and will be included in their teaching documentation. At least 2 peer evaluations

## Appointments, Promotion and Tenure

of teaching should be included in the teaching documentation of a candidate for promotion to professor.

### **X Procedures for Student and Peer Evaluation of Teaching**

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

Use of the Student Evaluation of Instruction (eSEI) is required in every course offered in this department. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going 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 in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

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

The Instructional Improvement and Evaluation Committees (CENT-IIEC, PROCOMP-IIEC, VAP-IIEC) are described in the POA and are appointed to oversee the department's peer evaluation of teaching process.

Annually the department chair appoints CENT-IIEC, PROCOMP-IIEC, VAP-IIEC of a size judged sufficient to meet the volume of peer review activity expected that year, without overburdening any of the members. The term of service is one year, with reappointment possible.

The responsibilities of the IIEC committees are described in the POA.