

Appointments, Promotion, and Tenure Criteria and Procedures
Department of Microbiology
Revised: 08/26/14

Table of Contents

1		
2		
3		
4		
5		
6		
7	I Preamble	4
8	II Department Mission	4
9	III Definitions.....	5
10	A Committee of the Eligible Faculty	5
11	1 Tenure-track Faculty	5
12	2 Research Faculty	5
13	3 Conflict of Interest.....	5
14	4 Minimum Composition	5
15	B Promotion and Tenure Committee	5
16	C Quorum.....	6
17	D Recommendation from the Committee of the Eligible Faculty	6
18	1 Appointment.....	6
19	2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal	6
20	IV Appointments.....	6
21	A Criteria	6
22	1 Tenure-track Faculty	6
23	2 Tenure-track Faculty—Regional Campus.....	7
24	3 Research Faculty	7
25	4 Associated Faculty	8
26	5 Courtesy Appointments for Faculty	8
27	B Procedures	9
28	1 Tenure-track Faculty	9
29	2 Tenure-track Faculty—Regional Campus.....	10
30	3 Research Faculty	11
31	4 Transfer from the Tenure-track	11
32	5 Associated Faculty	11
33	6 Courtesy Appointments for Faculty	12

1	V Annual Review Procedures.....	12
2	A Probationary Tenure-track Faculty	12
3	1 Regional Campus Faculty	14
4	2 Fourth-Year Review	14
5	3 Exclusion of Time from Probationary Period	15
6	B Tenured Faculty.....	15
7	C Tenured Faculty—Regional Campus.....	15
8	D Research Faculty	15
9	E Associated Faculty.....	16
10	VI Merit Salary Increases and Other Rewards	16
11	A Criteria	16
12	B Procedures	16
13	C Documentation	17
14	1 Teaching.....	17
15	2 Scholarship	17
16	3 Service	17
17	VII Promotion and Tenure and Promotion Reviews.....	18
18	A Criteria	18
19	1 Promotion to Associate Professor with Tenure.....	18
20	2 Promotion to Professor.....	20
21	3 Regional Campus Faculty	21
22	4 Research Faculty	21
23	B Procedures	22
24	1 Candidate Responsibilities	22
25	2 Promotion and Tenure Committee Responsibilities.....	22
26	3 Eligible Faculty Responsibilities.....	23
27	4 Department Chair Responsibilities.....	24
28	5 Procedures for Regional Campus Faculty	25
29	6 External Evaluations.....	25
30	C Documentation	26
31	1 Teaching	26

1	2 Scholarship	27
2	3 Service	27
3	VIII Appeals.....	28
4	IX Seventh-Year Reviews.....	28
5	X Procedures for Student and Peer Evaluation of Teaching.....	28
6	A Student Evaluation of Teaching.....	28
7	B Peer Evaluation of Teaching	28
8		

I Preamble

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu/rules/university-rules.html>); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs (OAA) Policy and Procedures Handbook (<http://oaa.osu.edu/handbook.html>); and other policies and procedures of the college and university to which the Department of Microbiology and its faculty are subject.

Should those rules and policies change, the Department of Microbiology 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 Executive Dean of the Arts and Sciences or his designee and the OAA before it may be implemented. It sets forth the Department of Microbiology'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 OAA 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/rules/university-rules.html>) 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/rules/university-rules.html>) 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 Department is to provide a comprehensive education in Microbiology and to extend, through investigative research, the body of knowledge that forms the discipline of Microbiology. Student education is accomplished through formal lectures, laboratory exercises, tutorials and one-on-one discussions and demonstrations. Microbiology is an experimental science and an education in Microbiology requires extensive exposure of undergraduate and graduate students to laboratory experiences. The Department's mission therefore includes maximizing student access to appropriate laboratory facilities, research equipment and financial support. The research interests and teaching activities of the faculty in the Department are varied. Faculty members disseminate knowledge and research expertise over a wide range of topics within the discipline of Microbiology to students enrolled at OSU and, as a service, also to government, private organizations and to individuals. The multiple missions of the Department of Microbiology, expected by the University of all departments, are formally designated as Teaching, Research and Service.

III Definitions

A Committee of the Eligible Faculty

1 Tenure-track Faculty

The eligible faculty for initial appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the Department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, 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.

2 Research Faculty

The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty whose tenure resides in the Department and all research faculty whose primary appointment is in the Department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the Department and all nonprobationary research faculty of higher rank than the candidate whose primary appointment is 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.

3 Conflict of Interest

A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional relationship with the candidate (e.g., dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion review.

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

In the Department of Microbiology, the Promotion and Tenure (P&T) Committee is composed of the Committee of Eligible Faculty.

C Quorum

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty, not including faculty who are on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining a 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 a 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. 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

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

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 a simple majority of the votes cast are positive.

IV Appointments

A Criteria

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

1 Tenure-track Faculty

Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of Assistant Professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The Department will make every effort to avoid such appointments. An

appointment at the Instructor level is limited to three years. When an Instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to Assistant Professor, the faculty member may request prior service credit for time spent as an Instructor. This request must be approved by the Department's eligible faculty, the Department Chair, the Dean, and the OAA. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. An earned doctoral degree is the minimum requirement for appointment at the rank of Assistant Professor. Appointments at the rank of Assistant Professor will be made to individuals who have strong prior research accomplishments, the potential for sustained research productivity at OSU, a high probability of securing outside funding to support their research, and strong teaching capabilities. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the Department and the profession is highly desirable. Appointment at the rank of Assistant Professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the P&T Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the OAA, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted without formal approval to move forward with a non-mandatory review.

Associate Professor and Professor. Appointment at senior rank requires that the individual, at a minimum, meets 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 OAA, 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 Tenure-track Faculty—Regional Campus

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

3 Research Faculty

Appointment of research faculty entails one- to five-year contracts. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the Department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule 3335-7

(<http://trustees.osu.edu/rules/university-rules.html>).

Research Assistant Professor. Appointment at the rank of Research Assistant Professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program.

Research Associate Professor and Research Professor. Appointment at the rank of Research Associate Professor or Research Professor requires that the individual have a doctorate and meet, at a minimum, the Department's criteria for promotion to these ranks.

4 Associated Faculty

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

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the Department, such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

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

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

Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at tenure-track titles is for individuals compensated at 1 – 49% FTE, with their primary appointment residing in a unit other than the Department of Microbiology. The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

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

5 Courtesy Appointments for Faculty

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

B Procedures

See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the OAA [Policies and Procedures Handbook](http://oaa.osu.edu/handbook.html) (<http://oaa.osu.edu/handbook.html>) for information on the following topics:

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

1 Tenure-track 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 OAA in advance. Search procedures must be consistent with the university policies set forth in the most recent update of [A Guide to Effective Searches](http://www.hr.osu.edu/hrpubs/guidesearches.pdf) (www.hr.osu.edu/hrpubs/guidesearches.pdf).

Searches for tenure-track faculty proceed as follows:

The Divisional Dean for Natural and Mathematical Sciences provides approval for the Department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The Department Chair will appoint a Search Committee of three or more faculty that will consist primarily of faculty members from the Department of Microbiology, but may include faculty from other departments.

The Search Committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the university Personnel Postings (formerly known as the "green sheet") through the Office of Human Resources Employment Services (www.hr.osu.edu/) and external advertising, subject to the Department Chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.

- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print (as opposed to on-line) advertisement appears in a location likely to be read by qualified potential applicants. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific nationally circulated professional journal.
- Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this judgment, on-campus interviews are arranged by the Search Committee Chair, assisted by the Department office. If the faculty does not agree, the Department Chair in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the Search Committee; graduate students; the Department Chair; and the Dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the eligible faculty meet to discuss perceptions and preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each candidate to the Department Chair.

If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty report a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the Department Chair.

In the event that more than one candidate achieves the level of support required to extend an offer, the Department Chair, after consultation with the eligible faculty, decides which candidate to approach first. The details of the offer, including compensation, are determined by the Department Chair.

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs. The university does not grant tenure in the absence of permanent residency status. The Department will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

2 Tenure-track Faculty—Regional Campus

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

Candidates are interviewed by, at a minimum, the regional campus Dean, Department Chair, Department eligible faculty, and regional campus search committee. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the Department Chair and regional campus Dean. Until agreement is reached, negotiations

with the candidate may not begin, and the letter of offer must be signed by the Department Chair and the regional campus Dean.

3 Research Faculty

The appointment of research faculty must be based on a clear and sound plan for the programmatic future of the Department and college and on a realistic determination of the availability of resources to support the appointment.

Appointments at the Research Assistant Professor level shall be made by the Chair, with support of the majority of tenured faculty. Appointments at the Research Associate Professor and Research Professor level shall require a full review and recommendation in writing by the Committee of the Eligible Faculty to the Chair of the Department, who is ultimately responsible for making the decision at the departmental level.

It is expected that 100% of the individual's salary will come from extramural research grants for which typically either the research faculty member or his/her Sponsor will be Principal Investigator. The Sponsor must certify that sufficient research grant funds exist to cover the salary over the period of the contract.

Research faculty will not be assigned research space, but will work in specifically designated space assigned to a Sponsor, a tenure- faculty member in the Department of Microbiology. Space designation will be made in writing, in the form of a letter from the Sponsor to the Department Chair.

While continued collaboration with the Sponsor is likely, research faculty are expected to begin to publish a body of work independent of the Sponsor. Peer-reviewed publications independent of the Sponsor and independent grant support are expected within three years of appointment.

4 Transfer from the Tenure-track

Tenure-track faculty may transfer to a research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the Department Chair, the College 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 research appointment to the tenure-track are not permitted. Research faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

5 Associated Faculty

The appointment, review, and reappointment of all compensated associated faculty is decided by the Department Chair in consultation with the Department Committee of the Eligible Faculty.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the Department and is decided by the Department Chair in consultation with the Department Committee of the Eligible Faculty.

Compensated associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances. All associated appointments expire at the end of the

appointment term and must be formally renewed to be continued. Visiting appointments may be made for one term of up to three years or on an annual basis for up to three consecutive years.

Lecturer and Senior Lecturer appointments are usually made on a semester-by-semester or annual basis. After the initial appointment, and if the Department's curricular needs warrant it, a multiple year appointment may be offered.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not proceed to the college level if the Department Chair's recommendation is negative, and does not proceed to the university level if the Dean's recommendation is negative.

6 Courtesy Appointments for Faculty

Any Department 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 this Department justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the Department Chair extends an offer of appointment. The Department Chair reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

V Annual Review Procedures

The Department follows the requirements for annual reviews as set forth in the Faculty Annual Review Policy (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).

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

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below.

The Department Chair is required (per Faculty Rule 3335-3-35 [<http://trustees.osu.edu/rules/university-rules.html>]) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04 [<http://trustees.osu.edu/rules/university-rules.html>]) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

A Probationary Tenure-track Faculty

At the time of appointment, probationary faculty members shall be provided 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 will be provided with copies of the revised documents.

During the probationary period, each faculty member will be reviewed annually in accordance with the policies of the Department, College, and University. The annual review will encompass the faculty member's performance in teaching, research, and service as well as evidence of continuing development. The purposes of the annual review are: to determine if the recommendation to be made is that the

probationary appointment be renewed; to evaluate the professional performance of the non-tenured faculty member in the areas of teaching, research and service, with regard to expectations for continued employment; to recognize and address areas in which the non-tenured faculty member needs advice and help with professional development. Two senior faculty colleagues are assigned as mentors. The Department will use the review process as a means to be supportive and helpful to untenured faculty as well as to candidly and clearly communicate aspects of performance that need improvement if the candidate is to make acceptable progress. However, if it is apparent that the candidate's likelihood of meeting expectations for promotion and tenure is poor, the appointment of the candidate may not be renewed. A nonrenewal decision must be based on the results of a formal performance review conducted in accord with fourth year review procedures.

Annual reviews are conducted at the end of the Spring semester. The Chair of the P&T Committee (Committee of the Eligible Faculty) shall inform probationary faculty in writing at least forty-five days in advance of the time that their activities and accomplishments are to be reviewed. The OAA shall develop and promulgate procedural guidelines that include a dossier outline to be used for the documentation of accomplishments by all probationary faculty for annual reviews. These guidelines will also include general information about review processes undertaken at the College and University level, information about any legal considerations affecting faculty evaluations, examples of criteria by which candidates for promotion and tenure are evaluated, and other information intended to assist academic units in carrying out annual reviews. The faculty member is required to submit a completed dossier, prepared as instructed by OAA, for evaluation during the review process. Letters of evaluation from scholars external to OSU are routinely sought only for inclusion in a review for promotion but may be obtained for an annual review if judged appropriate by the P&T Committee or Department Chair. 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. A copy of the portfolio, the request for the material, and the notice of time of the review are included in the faculty member's personnel file.

The P&T Committee is notified in writing of the pending review at least seven days in advance and is provided access to the faculty member's dossier for evaluation prior to the formal review meeting. The meeting is convened and Chaired by the Chair of the Committee of the Eligible Faculty. The Chair of the Committee provides a report of the committee deliberations and recommendations to the Chair of the Department.

The Department Chair's decision on reappointment of a probationary faculty member may be contrary to that of the Committee of the Eligible Faculty, although the reasons for the contrary decision must be communicated to the Committee. If the Department Chair and the Committee of the Eligible Faculty disagree in their assessment, the differences will be resolved by further discussion so that conflicting advice is not offered to a probationary faculty member.

At the completion of the review, the Chair of the Committee of the Eligible Faculty will provide the faculty member, and the Department Chair, with a candid and constructive written report that documents the Committee's evaluation of the faculty member's performance and professional development. The report will assess both strengths and weaknesses, and include recommendations as appropriate to help the faculty member meet the Department's requirements for promotion and tenure. The Department Chair will inform probationary faculty of their right to review their primary personnel file, maintained by their Department, and to place in that file a response to any report, evaluation, comment or other material contained in the file. The faculty member shall also be given an opportunity to discuss the results of the annual review with the Department Chair and with the P & T Chair, as appropriate. All annual review letters and reports shall become a part of the faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure. All correspondence related to annual reviews is placed in the faculty member's personnel file and copies of all

correspondence related to non-renewal are also provided to the Executive Dean of the College of Arts & Sciences, and to the OAA.

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

If the Department Chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-04 [<http://trustees.osu.edu/rules/university-rules.html>]) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

1 Regional Campus Faculty

Annual review of the probationary faculty member is first conducted on the regional campus, with a focus on teaching and service. The review then moves to the 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

In the beginning of the fourth year (October) of the probationary period, the Fourth Year Review is conducted. This annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the Dean (not the Department Chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are solicited only when either the Department Chair or the eligible faculty determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the scholarship without outside input.

The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment. At the Fourth Year Review, evidence of significant progress in establishing an independent research program must be documented. The results of research conducted at The Ohio State University should be proceeding through the publication process. Success in obtaining a competitive extramural research grant is expected by the end of the third year. If grant support is lacking, the candidate must submit a written statement to the Department Chair that identifies the reasons for the lack of extramural research grant support, efforts made by the candidate to obtain research grant support and an estimate of additional resources that could be provided by the Department to help ensure the success of the candidate's research program.

The eligible faculty forwards a record of the vote and a written performance review to the Department Chair, who conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the Department review, the formal comments process (per Faculty Rule 3335-6-04

[\[http://trustees.osu.edu/rules/university-rules.html\]](http://trustees.osu.edu/rules/university-rules.html)) is followed and the case is forwarded to the College for review, regardless of whether the Department Chair recommends renewal or nonrenewal.

3 Exclusion of Time from Probationary Period

Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu/rules/university-rules.html>) 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 OAA [Policies and Procedures Handbook](http://oaa.osu.edu/handbook.html) (<http://oaa.osu.edu/handbook.html>).

Probationary tenure-track faculty members on less than full-time service for part or all of their probationary period may request an exclusion of time from the probationary period on the basis that they are less than-full time. Such requests require approval of the tenure initiating unit Chair, Dean, and Executive Vice President and Provost. The exclusion shall be for an integral number of years based on the principle that the usual probationary period represents full-time service. The maximum permissible exclusion of a probationary period under this paragraph is one year for a probationary Instructor, three years for a probationary Assistant Professor and two years for a probationary Associate Professor or Professor.

B Tenured Faculty

Associate Professors are reviewed annually by the Professors, who submit a written performance review to the Department Chair along with comments on the faculty member's progress toward promotion. The Department Chair conducts an independent assessment; meets with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the Department Chair. The Department Chair meets with the faculty member to discuss his or her performance and future plans and goals, and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

C Tenured Faculty—Regional Campus

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 Research Faculty

The annual review process for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty.

In the penultimate contract year of a research faculty member's appointment, the Department Chair must determine whether the position held by the faculty member will continue. If it 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 (<http://trustees.osu.edu/rules/university-rules.html>) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

E Associated Faculty

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the Department Chair, or designee. The Department Chair, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. 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.

VI Merit Salary Increases and Other Rewards

A Criteria

Except when the university dictates any type of across the board salary increase, all funds for annual salary increases are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable.

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

Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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.

B Procedures

The Department Chair recommends annual salary increases and other performance rewards to the Dean, who may modify these recommendations. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the Department Chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate.

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

C Documentation

The annual performance review of every faculty member requires that all documentation described below, including the two summary documents, be submitted to the Department Chair no later than the first day of second session classes in spring semester.

- updated CV, which will be made available to all faculty in an accessible place
- faculty activity report for the preceding calendar year

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

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

The time period covered by the documentation described below is the preceding calendar year.

1 Teaching

Cumulative eSEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class taught.

Copies of pedagogical papers, books or other materials published or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed. An accepted but unpublished work submitted for consideration in a given annual review may not be resubmitted after publication for consideration in a future annual review.

Other relevant documentation of teaching as appropriate.

2 Scholarship

Documentation of all scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form with no further revisions needed.

Documentation of grants and contracts received.

Other relevant documentation of scholarship as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted).

3 Service

Any available documentation of the quality of service that enhances the list of service activities in the dossier faculty activity report.

VII Promotion and Tenure and Promotion Reviews

A Criteria

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

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

1 Promotion to Associate Professor with Tenure

Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules.html>) provides the following general criteria for promotion to associate professor with tenure:

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

Tenure is not awarded below the rank of Associate Professor at The Ohio State University.

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

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping 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. If a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities.

Excellence in teaching, scholarship, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics (<http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionaethics.htm>).

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

Teaching

For promotion to Associate Professor with tenure, a faculty member is expected to have:

- Provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge.
- Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm.
- Demonstrated creativity in the use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment.
- Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process.
- Provided appropriate and timely feedback to students throughout the instructional process.
- Treated students with respect and courtesy.
- Improved curriculum through revision or new development of courses and/or academic programs.
- Served as advisor to an appropriate number of graduate students given the Department's graduate student/faculty ratio and the faculty member's area(s) of expertise.
- Engaged in documentable efforts to improve teaching.

Scholarship

For promotion to Associate Professor with tenure, a faculty member is expected to have:

- Published a body of work in high-quality peer-reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:
 - Quality and quantity of publications, with an emphasis on documented research accomplishments that have made a significant, internationally-recognized, impact on the candidate's field(s) of expertise.
 - Unique contribution to a line of inquiry or repackaging of earlier work.
 - Rigor of the peer-review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published scholarship more than unpublished scholarship, and original works more than edited works.

- Empirical work, demonstrating the candidate's ability to conduct such work and to mentor future scholars, is preferred to synthetic work at this stage of career.
 - While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment. Letters from research collaborators describing the candidate's contribution can be included but must be solicited by the Department Chair.
- A demonstrated ability to obtain and potential to sustain research program funding. Competitive peer-reviewed funding is weighted more favorably than other types, since it serves as a quality indicator of research programs, and grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done. Research funding is a means to an end; funding that has not led to research productivity is disregarded in the review.
 - A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.
 - 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 the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

Service

For promotion to Associate Professor with tenure, a faculty member is expected to have:

- Made substantive contributions to the governance of the Department in a manner that facilitates positive contributions by others.
- Demonstrated the potential for useful contributions to the profession.

2 Promotion to Professor

Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules.html>) establishes the following general criteria for promotion to the rank of Professor:

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

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

A faculty member must be recognized internationally as an established research scholar before promotion to Professor. A record of sustained and substantial extramural support from peer-reviewed, competitive

grant sources is required, normally including renewals of grants initiated earlier. Professional recognition should include membership on editorial boards, invited research presentations at peer institutions, national and international symposia, invited reviews in professional publications, and membership on panels for state and federal granting agencies and advisory committees. Other important supporting activities might include obtaining patents, consulting for both profit and nonprofit organizations, the convening of research meetings and symposia, professional development as a result of research leave, research success of postdoctoral research advisees, and successful collaborative research with visiting scientists and sabbatical-leave colleagues.

A sustained record of effective teaching must be documented for promotion to Professor. The criteria listed for promotion to Associate Professor with tenure must be met and additional teaching competence must be documented.

A substantial record of active participation on appointed committees at the Department, College, University and extramural professional level is expected. However, outstanding service alone, even in a senior administrative role, will not be sufficient for promotion to Professor.

The Department will be receptive to cases with a heavier weighting on teaching performance and a correspondingly reduced weighting on research and scholarship. In order for a faculty member to be promoted under these conditions, it must be clear that the contributions to teaching are substantial and of high quality. Development and implementation of innovative and more effective approaches to instruction would be helpful in making such a case. In assessment of a candidate's national and international reputation in the field, a national and international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

In addition, as further specified by Faculty Rule 3335-6-02, assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another.

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

3 Regional Campus Faculty

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the Department will give greater emphasis to the quality of teaching and service relative to scholarship. Recognizing that the character and quantity of scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the Department nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

4 Research Faculty

Promotion to Research Associate Professor. For promotion to Research Associate Professor, a faculty member must have a substantial record of high-quality focused research consistent with an appointment devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged by external evaluators as having substantial positive impact on the field. A record of continuous peer reviewed funding is required along with evidence of a growing national reputation.

Promotion to Research Professor. For promotion to Research Professor, a faculty member must have a national or international reputation built on an extensive body of high-quality publications and with demonstrated impact on the field. A record of continuous peer-reviewed funding is required, along with demonstrated research productivity as a result of such funding.

B Procedures

The Department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) and the OAA annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the Department.

1 Candidate Responsibilities

Candidates are responsible for submitting a complete, accurate dossier fully consistent with OAA guidelines. Candidates should not sign the OAA Candidate Checklist without ascertaining that they have fully met the requirements set forth in the OAA core dossier outline including, but not limited to, those highlighted on the checklist.

If external evaluations are required candidates are responsible for reviewing the list of potential external evaluators developed by the Department Chair and the P&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 Department Chair decides whether removal is justified. (Also see External Evaluations below.)

2 Promotion and Tenure Committee Chair Responsibilities

The responsibilities of the Chair, on behalf of the Committee of the Eligible Faculty, 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 and to decide whether it is appropriate for such a review to take place. Only Professors on the committee may consider promotion review requests to the rank of Professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The committee 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 (including 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 only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.

- Consistent with OAA policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the Department Chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this Department.
- A decision to permit a review to take place in no way commits the eligible faculty, the Department Chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the OAA annual procedural guidelines.
 - **Late Spring:** Suggest names of external evaluators to the Department Chair.
 - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with OAA requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - 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.
 - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
 - Revise the draft 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 Department Chair.
 - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
 - Provide a written evaluation and recommendation to the Department Chair in the case of joint appointees whose tenure-initiating unit is another Department. The full eligible faculty does not vote on these cases since the Department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this Department's cases.

3 Eligible Faculty Responsibilities

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

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

4 Department Chair Responsibilities

The responsibilities of the Department Chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this Department.
- **Summer Semester:** To solicit external evaluations from a list including names suggested by the P&T Committee, the Chair and the candidate. (Also see External Evaluations below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the Department review process of the:
 - Recommendations by the eligible faculty and Department Chair
 - Availability for review of the written evaluations by the eligible faculty and Department Chair
 - Opportunity to submit written comments on the above material, within ten days from receipt of the letter from the Department Chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the Department Chair, indicating whether or not he or she expects to submit comments.

- To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
- To forward the completed dossier to the College office by that office's deadline, except in the case of associated faculty for whom the Department Chair recommends against promotion. A negative recommendation by the Department Chair is final in such cases.
- To receive the P&T Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the Department Chair's independent written evaluation and recommendation, to the Department Chair of the other tenure-initiating unit by the date requested.

5 Procedures for Regional Campus Faculty

Regional campus faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus Dean/director. The regional campus review focuses on teaching and service.

The regional campus Dean/director forwards the written evaluation and recommendation of the regional campus review to the Department Chair, from which point the review follows the procedures described for the Columbus campus faculty.

6 External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These are mandatory for all tenure-track promotion and tenure or promotion reviews and adjunct faculty promotion reviews. The decision to seek external evaluations for a research faculty member will be made by the Department Chair after consulting with the candidate and Chair of the Committee of Eligible Faculty.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who can give an “arms’ length” evaluation of the research record and is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This Department will solicit evaluations only from full Professors at institutions comparable to Ohio State. In the case of an Assistant Professor seeking promotion to Associate Professor with tenure, a minority of the evaluations may come from Associate Professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an evaluator on the merits of the case.

Since the Department 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 the summer semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the P&T Committee Chair, the Department Chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) 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 OAA nor this Department requires that the dossier contain letters from evaluators suggested by the candidate.

The Department follows the OAA suggested format, provided at <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the Department Chair, who will decide what, if any, action is warranted (e.g., requesting permission from the OAA to exclude that letter from the dossier). It is in the candidate's self-interest to ensure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

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

C Documentation

As noted above under Candidate Responsibilities, each candidate must submit a complete and accurate dossier that follows the OAA dossier outline. While the P&T Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

The complete dossier, including the documentation of teaching noted below, is forwarded when the review moves beyond the Department. The documentation of scholarship and service noted below is for use during the Department review only, unless reviewers at the college and 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 the faculty candidate solicit evaluations from any party for purposes of the review.

1 Teaching

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty, it is the date of last promotion or the last five years, whichever is less, to present. Examples of documentation include:

- Cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class.

- Peer evaluation of teaching reports as required by the Department's peer evaluation of teaching program. Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- Teaching activities as listed in the core dossier including:
 - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
 - mentoring postdoctoral scholars and researchers
 - extension and continuing education instruction
 - involvement in curriculum development
 - awards and formal recognition of teaching
 - presentations on pedagogy and teaching at national and international conferences
 - adoption of teaching materials at other colleges or universities
- Other relevant documentation of teaching as appropriate.

2 Scholarship

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

- Copies of all books, articles, and scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- Documentation of grants and contracts received.
- Other relevant documentation of research as appropriate (e.g., published reviews including publications where one's work is favorably cited, 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 collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recordings, television, and websites
 - Documentation of inventions, patents, disclosures, options and commercial licenses
 - List of prizes and awards for research, scholarly, or creative work

3 Service

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

- Service activities as listed in the core dossier including:
 - Involvement with professional journals and professional societies
 - Consultation activity with industry, education, or government
 - Clinical services
 - Administrative service to 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 (e.g., letters from committee Chairs) of the quality of service that enhances the list of service activities in the dossier.

VIII Appeals

Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules.html>) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (<http://trustees.osu.edu/rules/university-rules.html>).

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

IX Seventh-Year Reviews

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

X Procedures for Student 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. Alternatively, on-line evaluations can be solicited, but the response rates are typically lower. 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 Department Chair, in consultation with the Vice Chair for Teaching and Undergraduate Affairs, oversees the Department's peer evaluation of teaching process. Tenured faculty members of equal or higher rank than the candidate should prepare written evaluations of lectures and/or laboratory sessions taught by the candidate. Whenever possible, faculty who participate in teaching the same course should perform the evaluation. Copies of the evaluation will be provided to the faculty member who is evaluated and to the Department Chair. A copy of the report will become part of the faculty member's permanent file. The report should include an evaluation of the use of handouts, the clarity and organization of the oral presentation, the use of teaching aids, and student interactions. The report should comment on strong and any weak points of the instruction and presentation and may provide suggestions for improvements.

The teaching of probationary tenure-track faculty will be evaluated at least once per year during the first two years of service, and at least three times more during the remainder of the probationary period, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.

The teaching of tenured Associate Professors will be evaluated with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a three year period. The teaching of tenured Associate Professors must be evaluated a minimum of 5 times before promotion to Professor

The teaching of tenured Professors will be evaluated at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.

Upon the Department Chair's request, the teaching of any faculty member not currently scheduled for review will be evaluated. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.

The teaching of a faculty member not currently scheduled for review will be evaluated, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The Department Chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the University Center for the Advancement of Teaching (www.ucat.osu.edu).

Reviews conducted upon the request of the Department Chair or the faculty member focus on the specific aspects of instruction requested by the Chair or faculty member and may or may not include class visitations.

Regularly scheduled peer teaching evaluations are comprehensive and should include, in addition to class visitation, review of course syllabi and related instructional materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the P&T Chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.

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