

**Appointments, Promotion, and Tenure Criteria and Procedures**

**Department of Physics**

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## **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/policiesprocedureshandbook.html>) ; and other policies and procedures of the College of Arts and Sciences and university to which the department and its faculty are subject. Should these rules and policies change, the department will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the 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>). 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>) and other standards specific to this department and the College of Arts and Sciences; 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>).

This document is created in tandem with the Pattern of Administration of the Department of Physics. In the event of conflicting statements, this document takes precedence.

## **II Department Mission**

*The mission of the Department of Physics is to promote and enhance the research of the department to a level that is competitive with that of the best universities in the country, and to promote teaching and service by the department to an equally high level of excellence.*

Excellence in research involves advancing our understanding of the physical world and making those advances known through scholarly publications and presentations, stimulating the research work of graduate students and colleagues both at Ohio State and elsewhere, and establishing a

reputation for independent work at the forefront of physics research. It requires continuously evaluating and updating our research efforts. It necessitates hiring, and then promoting, only outstanding new faculty to preserve and enhance the department's and college's strength in research.

Excellence in teaching involves (1) providing learning systems for Physics undergraduate service courses that fully engage all our students; (2) introducing innovative approaches to improve learning courses designed primarily for our majors; (3) continuous updating of our upper level undergraduate and graduate courses to provide stimulating and exciting learning opportunities for these students; (4) helping to develop excellent research and workplace skills for all our students through mentoring their work on research and dissertations; and (5) regularly evaluating teaching quality and outcomes, both by peers and students, to improve our education product to the highest possible level.

Excellence in service involves (1) helping improve the department by participating in the decision-making process, engaging colleagues to seek creative solutions to problems and mentoring other faculty in research, teaching and service; (2) serving responsibly on committees within the Physics Department, the College of Arts and Sciences, and the university; (3) serving on professional committees at state, national, and international levels; (4) providing professional service through editorial and reviewing activities, and evaluating colleagues at other universities involved in the promotion and tenure process; and (5) sharing the fruits of our educational and research endeavors with the community beyond the university.

### **III Definitions**

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

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

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty members 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 equal rank to or higher rank than the proposed rank of the candidate whose tenure resides in the department, excluding the Chair, the Dean and assistant and associate Deans of the College of Arts and Sciences, 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 Chair, the Dean and assistant and associate deans of the College of Arts and Sciences, 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 members whose tenure resides in the department and all research faculty members 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 equal rank to or higher rank than the proposed rank of the candidate whose tenure resides in the department and all non-probationary research faculty of higher rank than the candidate whose primary appointment is in the department, excluding the Chair, the Dean and assistant and associate deans of the College of Arts and Sciences, 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 (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.

## **4 Minimum Composition**

In the event that the department at some point in time does not have at least three eligible faculty members who can undertake a review, the Chair, after consulting with the Dean, will appoint a faculty member from another department within the College of Arts and Sciences.

## **B Annual Review Subcommittee**

Prior to autumn semester each year the Chair will appoint a separate subcommittee of the Committee of the Eligible Faculty to review the performance of each assistant and associate professor. The subcommittee will consist of four faculty members, two from the candidate's discipline, with a combination of experimental and theoretical backgrounds when possible, and two members from outside the candidate's discipline. One of the faculty members from outside the discipline will serve as chair of the subcommittee. A faculty member from the candidate's discipline will be assigned as a research mentor and the other faculty member from outside the discipline (not the chair) will be assigned as the teaching mentor. The membership of this committee will be maintained throughout the promotion and/or tenure process, but substitutions will be allowed due to availability of faculty members in any given year. The assignment of chair shall rotate between the two eligible faculty members with different faculty serving as chair

during the fourth-year review and the promotion and tenure review. The department Chair will provide the subcommittee with a written charge that describes its duties and expected milestones during the academic year.

### **C Promotion and Tenure Subcommittee**

When an assistant or associate professor will be considered for promotion and/or tenure, the Annual Review Subcommittee will be designated as the Promotion and Tenure Subcommittee. In addition to the normal assignments described above, the chair of the subcommittee will appoint one member of the subcommittee to serve as the Procedures Oversight Designee (POD) (<http://oaa.osu.edu/assets/files/documents/PODDuties.pdf>). The chair of the subcommittee may not serve as the POD. The department Chair will provide the subcommittee with a written charge that describes its duties and expected milestones during the academic year.

### **D Quorum**

The quorum required to discuss and vote on all personnel decisions is a simple majority of the eligible faculty (excluding those teaching, absent from OSU on official leave or business). A member of the Committee of the Eligible Faculty who is on Special Assignment may be excluded from the count for the purposes of determining quorum only if the Chair has approved an off-campus assignment. Reasonable accommodations for participation by faculty assigned to other than the Columbus campus will be made, and those who cannot participate will not be counted in determining the quorum.

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

### **E Recommendations from the Committee of the Eligible Faculty**

All votes taken on personnel matters will be by secret ballot and 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. (A personnel matter is one that leads to an action by Human Resources.)

Absentee ballots and proxy votes are not permitted.

### **1 Appointment**

A positive recommendation from the eligible faculty for appointment in a tenure-track or research faculty position is secured when two-thirds of the votes cast are positive. (A final decision will be made by the Chair based on this recommendation, only after giving careful consideration to all competing candidates for the position, as per section IV Appointments

below. If the Chair's likely recommendation differs from that of the faculty, the Chair shall consult with the faculty before making a final decision.)

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

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when two-thirds of the votes cast are positive. Abstentions are not votes.

## **IV Appointments**

The Personnel Resources Committee (PRC) is charged with advising the faculty and the Chair of the department on matters of new faculty hiring, and thus it is appropriate to describe this committee in the present document. The PRC shall have at least eleven members appointed for two-year terms with five or six members being replaced each year. The composition of the committee should be representative. It may be asked to prepare long-range hiring plans that will satisfy the needs for departmental growth and replacement of faculty vacancies. Special hiring opportunities that may present themselves to various research groups will be considered by the PRC, which will evaluate the request and make a recommendation to the faculty and to the Chair. In regular searches the PRC should meet with each candidate and afterwards share its impressions with the department.

When an appointment of a foreign national is under consideration, the department will consult with the Office of International Affairs.

## **A Criteria**

The department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department. Recognizing the value of a diverse faculty, the department will make every attempt to seek out qualified female and minority candidates and encourage them to apply. The appointment of tenure-track faculty must meet the highest possible standards of excellence, consistent with the mission of the Department of Physics, and must be based on criteria that reflect strong potential to attain tenure and advance through the faculty ranks. In general, the successful candidate must demonstrate high promise for performing independent, significant and visible research, excellence in teaching, and responsible departmental service. Since these can be difficult to gauge at the time of appointment, there must be a strong consensus within the department and within the relevant area of specialization (if one exists) prior to appointing a new faculty member. Other appointments, such as research faculty, lecturers and adjuncts, must meet similarly high standards appropriate to their roles. 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 canceled 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 Office of Academic Affairs. 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**

- 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 Annual Review Subcommittee determines such a review to be appropriate. The faculty member may also request such a review in accordance with Faculty Rule 3335-6-04 (<http://trustees.osu.edu>). 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 without approval of a formal exclusion of the probationary period. A doctorate is the minimum requirement for appointment at the rank of assistant professor. Typically a candidate will also have postdoctoral research experience.
- The successful candidate must provide clear evidence of research promise as defined by demonstrated ability to perform, complete, and publish a major body of work that is relevant to the specific area of specialization.
- The successful candidate must have outstanding recommendation letters that establish the candidate as one of the very top candidates of his or her peer group nationally.
- The successful candidate must demonstrate potential for excellent teaching, communication, and writing skills as determined, in part, by the departmental colloquium and interactions with faculty during the interview process and by careful evaluation of published work by the relevant search committee.
- The successful candidate must display potential to perform effective service to the university and the professional community.

- The successful candidate must have strong growth potential that will lead to tenure and advancement through the faculty ranks.

### **Associate Professor**

In contrast to the assistant professor appointment described above, appointment at the rank of associate professor normally entails immediate tenure. It represents, therefore, critical decisions both for the Department of Physics and for the candidate involved, and as such merits the most serious consideration.

- The successful candidate must meet or exceed the department's criteria for promotion to associate professor with tenure.
- If the candidate does not currently hold a faculty position, then the candidate might not have had the opportunity to engage in teaching or in the training of graduate students, or in independently raising grant support for his or her research program. In this case the candidate must have demonstrated superior contributions to his or her research area in the form of well-recognized and highly-respected research contributions as evidenced by a strong publication and citation record, invited conference presentations, and national recognition of his or her research contributions. There should also be a high probability that the candidate will make an effective transition to a faculty position with regard to his or her research program as measured by relevance to the future of his or her field and by funding potential. The question of teaching ability, in this case, will be defined by the criteria set forth for the appointment of tenure-track assistant professors.

### **Professor**

In parallel with appointment at the rank of associate professor described above, appointment at the rank of professor normally entails immediate tenure. It represents, therefore, critical decisions both for the Department of Physics and for the candidate involved, and as such merits the most serious consideration.

- The successful candidate must meet or exceed the department's criteria for promotion to professor, with a particular emphasis on the requirement that the candidate have national and international recognition as a scholar in his or her area.
- If the candidate does not currently hold a faculty position, then the candidate might not have had the opportunity to engage in teaching or in the training of graduate students, or in independently raising and continuing grant support for his or her research program. There should be very strong evidence that the candidate will establish a well-funded, productive and nationally and internationally recognized research program, after a short transition period, which will involve the education and training of Ph.D. and M.S. graduate students. In this case the

question of teaching ability will be defined by the criteria set forth for the appointment of tenure-track assistant professors.

### **Appointment as Associate or Full Professor without Tenure**

Appointments at these levels generally entail tenure, as noted above. However, a probationary period may be granted, according to Faculty Rule 3335-6-03, by petition of the department, for a period not to exceed four years. 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. If the department decides that a probationary period is needed, it will typically petition for a probationary period of four years, 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>).

In establishing the title, the Board of Trustees restricted the duties and responsibilities (Faculty Rules 3335-7, <http://trustees.osu.edu>): primary emphasis on research, limited teaching (with approval of the department), supervision of graduate students (with approval of the Graduate School), limited service, with the exclusion of university governance.

In the Department of Physics, research faculty at all ranks are appointed for research in specific areas under the assumption that the cost of the salary (with benefits and overhead) and the associated research will be supported by external funds with full overhead. Bridge funding for those research faculty members who are between funding streams may be possible under some circumstances, as addressed in the department's Pattern of Administration. Normally research faculty will be associated with specific tenure-track faculty or an OSU-connected research

facility. No research faculty shall have continuing teaching assignments, although occasional use in junior/senior, graduate and specialized courses is possible with consent of the funding source, the tenure-track faculty, and the Chair. Departmental service is limited to mentoring research students at all levels and to serving on selected departmental committees related to the research role of the relevant faculty. Research faculty can be principal investigators on external contacts or grants. Only with permission of the Chair can research faculty compete for internal funding or funding not returning full overhead.

The criteria for the appointment of a research faculty member in a specific research area at any level shall be the quality of his or her research achievements and the potential for significant future research. Letters of recommendation should support these criteria. The distinctions between assistant research professor, associate research professor and research professor shall reflect the relative division among the tenure-track faculty ranks.

Any research faculty appointment is targeted to a capable individual who sees benefits in doing research at a university: greater freedom to select projects and secure funding, opportunity to interact with research students and postdocs, general ambience of a university community. At the same time the individual is disinterested in other aspects of faculty life: formal teaching and university committee service. Changes in research at national and industrial laboratories may make those alternatives less attractive. The research faculty appointment allows OSU to attract high-quality researchers who might be otherwise unavailable.

**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 research criteria for promotion to these ranks.

#### **4 Associated Faculty**

Associated faculty appointments may be as short as a few 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, but are typically uncompensated. Adjunct faculty appointments are given to individuals who provide considerable academic service to the department, such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

For an adjunct position to be appropriate, there must be a specific need in the department for a person to perform departmental duties such as teaching courses, advising graduate students, or

providing research project leadership that would enhance the graduate program. The criteria for the adjunct appointment are dependent on the nature of the appointment:

- If the person receives an adjunct appointment for teaching a course, that person must provide evidence that he or she has the capability for good teaching and has a good knowledge of the material taught in the course. Evidence of this includes an advanced degree and/or teaching experience in the subject area. The person is expected to demonstrate good communication skills as judged through any appropriate means such as an interview.
- If the purpose of the adjunct appointment is for research collaboration along with student advising, the criterion for appointment is evidence of research excellence as judged by publications, letters of recommendation, and experience in performing and directing research within a government laboratory, company or university.

The rank at which the appointment is made, whether for teaching a course or for advising a student, should be based solely on the research record of the applicant.

**Lecturer.** The Lecturer position is to be used only when a specific instructional need is identified in the department. 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 a 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 with tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.** Visiting faculty appointments may either be compensated or uncompensated. 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.

It is expected that the visiting faculty member will be collaborating with a tenure-track or research faculty member within the department. Evidence of the collaboration would be provided in the nominating letter from that faculty member.

## **6 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. Continuation of the appointment should reflect ongoing contributions. Courtesy appointments do not require formal annual review.

## **B Procedures**

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

Requests to hire new tenure-track faculty may originate in various ways. Research groups may request a position, either as part of a long-range plan adopted by the faculty or as a perceived special opportunity or replacement. Standing departmental committees or ad hoc committees appointed by the Chair may also request a position to address a specific need of the department. Special requests (such as a special “target of opportunity”) are reviewed by the PRC, which then makes a recommendation to the faculty and Chair pertaining to the specific request. Next, the Chair calls a meeting of the faculty for the purpose of discussing the recommendation and acting on the faculty request. If approved by the faculty, the Chair will proceed with the process, starting with seeking approval from the Dean of the College of Arts and Sciences. The Dean’s approval may be accompanied by constraints with regard to salary, rank, and field of expertise.

Once a search is approved, the Chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as

other fields within the department. The Chair will create a written charge describing the scope of the search and the duties of the search committee. The Chair will meet with the search committee to discuss the charge. The committee will conduct a national search to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the College of Arts and Sciences and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in A Guide to Effective Searches (<https://hr.osu.edu>).

The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the university Personnel Postings through the Office of Human Resources Employment Services (<http://hr.osu.edu/>) and external advertising, subject to the 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 advertise using at least one 30-day online ad in a national professional journal. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor 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 national professional journal.
- Screens applications and letters of recommendation and presents to the Chair a summary of those applicants (usually three to five) judged worthy of interview. If the Chair agrees with this judgment, this list is sent to the Dean of the College of Arts and Sciences for approval. If approved by the Dean, on-campus interviews are arranged by the search committee chair, assisted by the department office. If the list is not approved, the 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).

As part of the application process, and prior to the preliminary selection mentioned above, candidates for a tenure-track position must submit to the search committee a curriculum vitae containing a summary of their educational background, professional experience and interests, list of publications and presentations, a research statement and a teaching statement, and, in addition, have persons qualified to evaluate them provide letters of recommendation. The Department of Physics provides an online method of submission of both candidate information and letters of recommendation. Application materials are made available online for the search committee. A hard copy of the information is also available in the Chair's office for faculty viewing upon request.

Once the candidate pool has been narrowed to a short list of a few candidates, on-campus interviews with these candidates must include opportunities for interaction with faculty groups, including the search committee; the PRC; graduate students; the Chair; and the Dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship at a special colloquium. In certain exceptional circumstances, the candidates may be asked to teach a class. The class could be an actual class or a mock instructional situation. Advance notice of the visit and the lecture and/or teaching opportunity, together with electronic access to applications materials including letters of recommendation for each candidate, will be made available to the entire faculty. All candidates interviewing for a particular position must follow the same interview format and this format should follow best practices for obtaining the most complete assessment of a candidate's potential.

Following each on-campus interview, the search committee will solicit written feedback from the eligible faculty regarding perceptions of the candidate. After all on-campus interviews are complete, the search committee will meet to discuss the outcome and develop a recommendation for the eligible faculty regarding which candidates are worthy of a formal vote. The cases of these candidates are presented in a meeting of the eligible faculty and a secret ballot is taken for each candidate. The eligible faculty may request, by simple majority, that a formal vote be taken on a candidate who participated in an on-campus interview but was not recommended by the search committee. The outcome of all votes constitutes a recommendation to the Chair. This recommendation should include a rank ordering if more than one candidate achieves the necessary level of support to make an offer.

If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the proposed rank and tenure. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit (see IV. A. 1 above). The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the Chair.

In the event that more than one candidate achieves the level of support required to extend an offer, the Chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the Chair, in consultation with the Dean of the College of Arts and Sciences as appropriate.

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 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, 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 short list of not more than five candidates will be chosen by the committee, in consultation with faculty with appropriate expertise from the Columbus campus. Those candidates will be invited to Ohio to meet faculty and make presentations both at the regional campus and the Columbus campus. The committee will present a rank-ordered list of candidates to the faculty of the Physics department at the Columbus campus, which will then recommend a rank-ordered list of candidates to the Deans of the College of Arts and Sciences and the regional campus. A decision to make an offer requires agreement by the 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 Chair and the regional campus Dean.

#### **4 Research Faculty**

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that a national search only requires approval by the Dean of the College of Arts and Sciences, the candidate should provide plans for securing research funding sufficient to support his or her salary and benefits, and the interview process will not, except under highly unusual circumstances, include a teaching situation.

#### **5 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 Chair, the Dean of the College of Arts and Sciences, 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.

#### **6 Associated Faculty**

The appointment, review, and reappointment of all compensated associated faculty is decided by the Chair in consultation with appropriate faculty. Compensated associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances. 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.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. The proposal is considered at a regular faculty meeting and if approved by the faculty, the Chair extends an offer.

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. Adjunct appointments may be renewed only when the academic service for which the appointment was made continues.

Associated faculty other than lecturers 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 Chair's recommendation is negative, and does not proceed to the university level if the Dean's recommendation is negative.

## **7 Courtesy Appointments for Faculty**

Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track or research faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to the department justifying the appointment is considered at a regular faculty meeting. The proposal should include a complete curriculum vitae. If the proposal is approved by the eligible faculty, the Chair extends an offer of appointment. The 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. Termination of courtesy appointments can be initiated by a faculty member in a recommendation to the Chair, or by the Chair. It must then be approved by the departmental faculty excluding those with either adjunct or courtesy appointments.

Courtesy appointments are intended as a means of recognizing faculty in other units with strong intellectual ties to activities in the department and fostering further interaction. Any graduate faculty member at the university may act as a co-advisor of a physics doctoral student on a committee chaired by a tenure-track member of the Physics department with a bona fide collaborative interest in the student's project. Faculty with courtesy appointments have the additional privilege of chairing a physics doctoral student's committee as the primary adviser without the need for a sponsor from the tenure-track faculty of the department. To exercise this privilege, the advisor should make a request for graduate faculty status to the Vice Chair for Graduate Studies documenting the nature of the student's expected thesis work and the plans for providing financial support. This request is then presented to the Graduate Studies Committee for its review and approval. It is expected that the thesis topic for these students will be appropriate for a student pursuing a Ph.D. in physics, and that the student will be supported as a GRA by the advisor by the student's third year and beyond. Students supported by a physics GTA or by other physics department funds are expected to register for graduate research credit. The appropriate registration for students supported from other funds is to be determined through a discussion between the advisor and the Vice Chair for Graduate Studies.

Courtesy appointees are encouraged to list their affiliation with the department on publications. The department also requests that courtesy appointees provide the department with an annual

report of their publications. To minimize the administrative burden on the appointee, this may be fulfilled by providing this information in the format required by the appointee's home department.

## **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 tenure-track 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 in the Pattern of Administration; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material typically must be submitted to the Chair no later than the first day of class following Spring Break.

The Chair is required (Faculty Rule 3335-6-03, <http://trustees.osu.edu>) to include a reminder in the annual review letter that all faculty have the right (Faculty Rule 3335-5-04, <http://trustees.osu.edu>) 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 and Tenured Associate Professors**

At the time of appointment, probationary tenure-track 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 shall be provided with copies of the revised documents. Subsequently, every probationary tenure-track faculty member is reviewed annually by the Chair, who meets with the faculty member to discuss his or her performance, future plans and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

The promotion and tenure and annual review processes for assistant and associate professors are closely coupled in the Department of Physics. They are both conducted by the Committee of the Eligible Faculty. During spring semester each year the Annual Review Subcommittee for each probationary faculty member, except those who have in the prior autumn been recommended for promotion and/or tenure, will:

- Evaluate the performance of the faculty member under review with regard to teaching, research, and service.
- Consider and include the reports of previous annual review committees in this evaluation.
- Prepare a report summarizing the evaluation for the Committee of the Eligible Faculty.
- Orally summarize this report to the Committee of the Eligible Faculty.

The evaluation shall not contain a specific recommendation for action, that being the responsibility of the Committee of the Eligible Faculty. Furthermore, it is not the duty of the Annual Review Subcommittee to review or to decide upon the general staffing needs of the department or to make explicit comparisons or rank orderings of the person under review with other members of the department.

Prior to its deliberations, the following information should be provided to the Annual Review Subcommittee about the faculty member under review:

- A written statement from the faculty member, approximately two pages in length, that describes accomplishments during the previous year, discusses future plans or intentions, and responds, if appropriate, to questions or evaluations brought out in previous reviews regarding the professional activities of the faculty member.
- A “Core Dossier” as described in the most recent OAA Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>).
- A current curriculum vitae, and all other documentation as outlined under salary reviews below.
- All reports from previous review committees.
- Such information on teaching effectiveness and efforts to improve instruction as may be available and appropriate, including reports from senior faculty visitations to classes, evidence of special preparation of teaching materials, evidence of course development, and student evaluation results for all courses taught.
- Records of any agreements that supplement or depart from standard departmental or university practice.
- Public records, including press accounts, of the faculty member's professional activities from the previous year.

Faculty members should be encouraged to continually maintain a personal file of the information mentioned above so that it can be supplied to the Annual Review Subcommittee at short notice in the autumn semester. The mentor should inform the faculty member under review if a significant amount of information is missing, and make every effort to correct the deficiency. New faculty members should be supplied with a copy of this Appointments, Promotion, and Tenure Criteria and Procedures document so they may begin the systematic collection of the information required for the Annual Review.

The evaluation by the Annual Review Subcommittee of the faculty member's teaching performance is particularly important for effective mentoring. The results of student evaluations may be used as an indicator of possible teaching problems. Information from peer reviews will further aid in diagnosis and treatment of problems. If a faculty member's student evaluation results, as informed by peer reviews, are significantly below the departmental average, then the Committee of the Eligible Faculty may recommend appropriate actions. Such measures may include additional classroom visitations by faculty with a subsequent written report containing possible suggestions for improvement, and a plan of action by the faculty member for making such improvements as advised.

The Annual Review Subcommittee, after carefully examining and discussing the information provided to it regarding the faculty member under review, will prepare a candid and discerning written report for the Chair and for the person reviewed. The chair of the Annual Review Subcommittee may wish to discuss the report with the faculty member under review and must provide an opportunity for a response to the report before it is discussed by the full Committee of the Eligible Faculty.

The report of the Annual Review Subcommittee will be discussed at a meeting of the Committee of the Eligible Faculty in the spring semester. All materials supplied by each faculty member under review will be available for review prior to the meeting. Following discussion of the Annual Review Subcommittee report, the Committee of the Eligible Faculty shall prepare a report that includes the voting, a summary of the discussion at the meeting that appropriately incorporates the Annual Review Subcommittee report. The Committee's report will include, at an appropriate time, a recommendation as to whether the faculty member under review shall be considered as a candidate for promotion and/or tenure. In the case of such a recommendation, the Chair will appoint a Promotion and Tenure Subcommittee to prepare the case for consideration by the eligible faculty in the following autumn semester's promotion and tenure process.

In the case of probationary faculty, the report of the Committee of the Eligible Faculty must also contain a recommendation to reappoint or not reappoint the faculty member to another probationary year. In the case of a recommendation of nonrenewal in the first, second, third, or fifth year of appointment of an assistant professor, fourth year review procedures (per Faculty Rule 3335-6-04, <http://trustees.osu.edu>) will be followed, except that external letters will only be solicited if the eligible faculty require such advice in order to evaluate the scholarship, especially in cases where the research is interdisciplinary or in an emergent field. The Committee of the Eligible Faculty may authorize the Annual Review Subcommittee to prepare its report, with the Vice Chair for Administration coordinating the process and signing the report, which is forwarded to the Chair.

Following the meetings of the Committee of the Eligible Faculty, the member of the Annual Review Subcommittee designated as mentor will meet with the faculty member under review to consider the report and the discussion in the faculty meeting. It is appropriate at each of these meetings for the mentor to discuss the departmental view of the faculty member's overall performance; in particular the mentor has an obligation to discuss any perceived shortcomings. It is the obligation of the Chair to foster this mentoring process, and provide any appropriate advice and counsel. The Chair will also meet with each faculty member to discuss that faculty member's report.

If the Chair recommends renewal of the appointment of a probationary faculty member, whether an assistant professor or an associate professor or professor hired without tenure, this recommendation is final. The Chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The Chair's letter (along with the faculty member's comments, if received) is forwarded to the Dean of the College of Arts and

Sciences. 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 Chair recommends nonrenewal for a probationary faculty member, the Fourth-Year Review process (per Faculty Rule 3335-6-03) is invoked. Following completion of the comments process, the complete dossier is forwarded to the College of Arts and Sciences 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 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 faculty shall follow the same process within the department as the review for tenure and promotion. Letters from persons outside the department (in accordance with section VII below) will be solicited by the Chair and supplied to the Annual Review Subcommittee prior to its deliberations. A minimum of two letters will be required for the fourth-year review, one of which may be from a writer proposed by the candidate. Once a report from the Annual Review Subcommittee has been produced, the chair of the Annual Review Committee may wish to discuss the report with the faculty member, and must provide an opportunity for a response to the report before the Committee of the Eligible Faculty conducts a review of the candidate. Upon completion of its review, the Committee of the Eligible Faculty vote by written ballot on whether to renew the probationary appointment.

The eligible faculty forwards a record of the vote and a written performance review to the Chair. The Chair conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04, <http://trustees.osu.edu>) is followed and the case is forwarded to the College of Arts and Sciences for review, regardless of whether the Chair recommends renewal or nonrenewal.

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.

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

Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu>) sets forth the conditions under which a probationary tenure-track faculty member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>).

### **B Tenured Professors**

Tenured professors are reviewed annually by the Chair, who may seek the advice and opinions of persons within or outside the department at his/her discretion.. The 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. This will normally be done following the annual salary review. The faculty member may provide written comments on the review.

In the rare instance of a probationary professor, the procedures shall be as in V. A. above.

### **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 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 nonprobationary faculty is identical to that for tenure-track probationary and tenured faculty, with the following differences:

- The dossier needs to contain information on only the quality of research-related activity: publications, external reputation, funding level, and mentoring of students and postdocs.
- For one- and two-year contracts, yearly reports shall contain a recommendation on reappointment.
- For three- to five-year appointments, the "fourth-year review of probationary faculty" shall be in the penultimate contract year and shall contain recommendations on both reappointment and, when appropriate, promotion to associate and full research professor ranks, along with a suggested term for the promoted appointment. In the case of reappointment without promotion of rank, external letters are not solicited unless requested by the candidate, in which case a minimum of two letters will be required, one of which may be from a reviewer proposed by the candidate. There is no presumption of renewal of contract. Associate and full research professors are not tenured.

- If an appointment will not continue, whether as a result of the formal review above or reasons connected with staffing needs of the department, 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>) must be observed.

## **E Associated Faculty**

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the Chair, or designee. The 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 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 for tenure-track and research faculty 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, research and scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. (Salary recommendations for research faculty are to be based on the same considerations, with the exception of the evaluation of teaching. This distinction is to be understood in reading the sections below.) The time frame for assessing performance will be the past 36 months, 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. For a faculty member with a typical teaching assignment, the weighting of these factors is 50% research and scholarship, 30% teaching, and 20% service. For faculty members with modified workload involving either increased or reduced formal teaching responsibilities, the weighting in each area will normally be



adjusted to reflect the change in duties, but typically each area shall be weighted at no less than 20%.

- Salary increases may be recommended in recognition of excellence in research and scholarship. All faculty members are expected to be active in research in physics or in a related interdisciplinary area. Normally faculty research is expected to result in publications in highly regarded peer reviewed journals and to garner a level of external financial support appropriate to the nature of the work. Among the factors considered in evaluating this component are refereed articles, books, invited talks at professional meetings, seminars, colloquia, and other presentations, grants, contracts, awards, and honors.
- Salary increases may be recommended in recognition of excellence in education and teaching. The diversity of educational activities among the faculty is considered. Other factors considered are teaching awards; outstanding classroom performance; leadership in program and course development; development of innovative instructional materials including textbooks, laboratory manuals, and class notes; supervision of graduate research; and teaching activities outside the classroom, including both formal and informal advising of undergraduate and graduate students.
- Salary increases may be recommended in recognition of excellence in service and leadership to the department, the college, the university, the profession, and society at large. Service includes actively engaging in departmental operations to help fulfill its mission; participating on national and international review and/or editorial boards, advisory committees, and/or governing boards; organizing conferences and workshops; and engaging in support activities for industry, government, and other groups. Membership and participation on a mix of department, college and university committees are expected of all faculty. Noteworthy leadership in such activities is recognized, as is service to students through advising student organizations. Service as a referee of articles and grant proposals is also expected of all faculty.

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 Chair recommends annual salary increases and other performance rewards to the Dean, who may modify these recommendations. In formulating recommendations, the Chair consults with the Vice Chairs. Salary increases are formulated with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries, and considers market and internal equity issues as appropriate. The Chair will endeavor to be as fair and unbiased as possible in making salary recommendations and will apply to the extent possible criteria that reflect the collective standards of the faculty for individual performance.

Faculty members who wish to discuss dissatisfaction with their salary increase with the 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 be submitted online through the “Request for Professional Information” webpage for the department no later than the date posted in the instructions, which will normally be the first day of classes after spring break. The requested information will cover the previous calendar year but a three-year aggregate will be used for the review.

- Updated curriculum vitae
- Unless contained in the curriculum vitae, lists of publications, seminars and colloquia, and active grants
- Data on indirect cost recovery, h-index, etc., as input through a provided spreadsheet
- A list of recent graduates
- A list of former students and postdocs
- A list of current graduate and undergraduate students being advised
- A list of postdoctoral research associates supported
- A compilation of service and outreach activities
- An activity narrative statement that covers the past year and future plans

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.

Cumulative Student Evaluation of Instruction (SEI) reports (computer generated summaries prepared by the Office of the University Registrar) or Departmental Student Evaluation of Teaching (SET) reports for every class taught, along with peer evaluation of teaching reports, will be compiled by the Vice Chair for Administration. In addition, any available documentation of the quality of service that enhances the list of service activities in the dossier may be considered.

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

### **A Criteria**

Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) 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>) 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 department recognizes that the award of tenure is normally 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. The standards for tenure will be based on nationally established signatures of excellence. The faculty members of the Department of Physics are expected to participate and make significant and high quality contributions in all three of the areas of teaching, research, and service, but some counterbalance may exist among those three areas in establishing the acceptability of performance. In the Department of Physics, research is given a high priority in all tenure and promotion cases.

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/report/statement-professional-ethics>).

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

## **Teaching**

For promotion to associate professor with tenure, a faculty member is expected to have demonstrated a consistently high-level quality of instruction (including latest developments in the field, as appropriate) in courses and situations assigned, or a demonstrated improvement path to achieving such a high level with significant improvement already documented. Indicators of the quality of instruction may include, for example, the faculty member's ability to:

- organize and present class material effectively with logic, conviction, and enthusiasm
- creatively use various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment
- engage students actively in the learning process and encourage independent thought, creativity, and appreciation of the knowledge creation process
- provide appropriate and timely feedback to students throughout the instructional process
- treat students with respect and courtesy
- improve curriculum through revision or new development of courses and/or academic programs
- serve as advisor to an appropriate number of graduate students given the faculty member's area(s) of expertise
- serve as research mentor to undergraduate students
- engage 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 archival journals that is focused, contributes substantively and uniquely to knowledge in the area of focus, and is beginning to show evidence of influence on the work of others. Collaborative work is encouraged, and indeed is essential in some subfields, but the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
- Demonstrated the ability to mentor future scholars (students and/or postdoctoral fellows) as appropriate to their subfield.

- Obtained research program funding, and demonstrated the potential for sustained 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.
- Demonstrated a developing national/international reputation in the candidate's subfield as evidenced by external evaluations, invitations to present at recognized prestigious forums including conferences and research universities, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications.
- 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.

Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding. Patents should be considered equivalent to an original peer-reviewed manuscript. Licensing activities that generate revenues should be considered equivalent to extramural grant awards, and materials transfer activities should be considered evidence of national (or international) recognition and impact.

## 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, which typically means participation in the work of departmental committees at a level that does not compromise research and teaching performance.
- demonstrated the potential for useful contributions to the profession, such as through reviewing papers and grant proposals and helping in the organization of conferences or symposia.

## 2 Promotion to Professor

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

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

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national and international reputation in the field. Promotion to this level should be made on the basis of a carefully considered judgment that the individual will continue to make significant contributions to the profession. The same criteria of excellence in research, teaching, and service apply here as at other levels, but judgments of the balance that exists among them should fully recognize the particular talents and assigned duties of the individual concerned, as specified by Faculty Rule 3335-6-02 (<http://trustees.osu.edu>).

The candidate for promotion should have established a record of research achievements and publications that have had a notable impact on the field.

The candidate should have demonstrated excellence in teaching, documented as described in Section VII A 1 above.

The candidate should have demonstrated service at the leadership level to the department. In addition, there should be demonstrated service at the college and/or university level as evidenced by serving as the Graduate School representative on graduate examination committees; advising student clubs; serving on ad hoc or standing committees, councils, task forces and boards; administrative responsibilities of programs or offices; and/or other such service that advances the mission of the university. The candidate should also have demonstrated service to the discipline at the national level.

Candidates for promotion must have a record of achievement in all three areas. Promotion to Professor may also be considered in exceptional circumstances, however, on the basis of a sustained record of excellence in teaching and service with a lower weighting of research and scholarship. Normally faculty being considered for promotion under this criterion will have undertaken a modified workload with additional duties in formal teaching and/or service. When assessing 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. Promotion to Professor should not be considered to be an automatic result of longevity in the rank of Associate Professor. In those infrequent cases where such promotion does not appear to be in the best interest of the department, it is appropriate that the Chair inform the faculty member of this judgment.

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 and look for evidence of sustained excellence in those areas. 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 journals 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 and 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>) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](http://oaa.ooosu.edu/handbook.html) (<http://oaa.ooosu.edu/handbook.html>). The following sections, which state the responsibilities of each party to the review process, apply to all faculty tracks in the department.

Procedures for promotion and/or tenure may be normally initiated in two ways. A faculty member may initiate these procedures at any time following consultation with the Chair and/or faculty mentors. The Chair will normally ask the faculty member's Annual Review Subcommittee to consider the request and to recommend whether it should be considered at a meeting of the Committee of the Eligible Faculty. The committee bases its decision on an 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 (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review. Only professors 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. Consistent with Office of Academic Affairs 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 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 not considered for promotion by this department.

In accordance with the Faculty Rule 3335-6-04 (<http://trustees.osu.edu>), a tenured faculty member's request to be considered for promotion may not be rejected by the department for more than 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.

A decision by the Annual Review Subcommittee to recommend that a promotion and/or tenure review take place in no way commits the eligible faculty, the Chair, or any other party to the review to making a positive recommendation during the review itself.

In the case of a positive recommendation and approval at a meeting of the eligible faculty, the Chair will appoint a Promotion and Tenure Subcommittee. This committee will meet in the spring semester or early in the summer semester to provide names of persons for external letters of evaluation to be used in the Annual Review/Promotion and Tenure Review the following Autumn Quarter.

In addition, a recommendation for consideration of promotion and/or tenure during the following year may arise during the normal annual review process as a part of the report of the eligible faculty. There may also be other circumstances when the Chair may choose to form a Promotion and Tenure Subcommittee.

## **1 Candidate Responsibilities**

Candidates are responsible for submitting a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist (<http://www.oaa.osu.edu/assets/files/documents/CoreDossier.pdf>).

Candidates are also responsible for submitting a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department. If the candidate has been in a senior rank for more than 10 years, the candidate is reviewed under the current APT document.

Candidates may review the list of potential external evaluators developed by the Promotion and Tenure Subcommittee and submit a short list of additional potential external evaluators. Normally, the candidate should suggest no more than three names unless specifically requested, but is not required to submit any names. The candidate may also provide the names of no more than two individuals from whom the candidate would request that the department not solicit external evaluations and provide the reasons for the request. The department Chair decides whether removal is justified. (Also see External Evaluations below.)



The candidate may provide written comments on the departmental review for inclusion in the dossier within 10 calendar days of being notified about the completion of the review.

## **2 Promotion and Tenure Subcommittee Responsibilities**

The Chair appoints, as needed, a Promotion and Tenure Subcommittee of the Committee of the Eligible Faculty (See Section III) to review the performance of each tenure-track faculty member to be considered for promotion and/or tenure. The responsibilities of the Promotion and Tenure Subcommittee are as follows:

- **Late Spring:** Select from among its members a Procedures Oversight Designee. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
- **Late Spring:** Suggest names of external evaluators to the Chair.
- **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
- Meet with each candidate for clarification as necessary and 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. The subcommittee neither votes on cases nor takes a position in presenting its analysis of the record. It is not the duty of the Promotion and Tenure Subcommittee to review or to decide upon the general staffing needs of the department or to make explicit comparisons or rank orderings of the candidate with other members of the department. The draft report will be shown to the candidate prior to the meeting of the Committee of Eligible Faculty to allow for comments and clarifications.
- The report of the Promotion and Tenure Subcommittee will be discussed at a meeting of the Committee of the Eligible Faculty. Information on the present status of all contemporaries named in the report and/or letters of evaluation should be available to eligible faculty and to the candidate consistent with the Ohio Open Records Act. In cases where it has been established that the department's standard teaching evaluation procedure (i.e., a combination of written student comments, statistical summaries from SEIs or SETs, and peer reviews) gives a misleading indication of a candidate's teaching ability, the report should include an explanation of this discrepancy. A curriculum vitae and list of publications for each faculty member under review will

be available for review prior to the meeting. It is the responsibility of the Promotion and Tenure Subcommittee Chair to have available at the meeting of the eligible faculty all of the information supplied to the Promotion and Tenure Subcommittee.

- In collaboration with a Vice Chair designated by the Chair, 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 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 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 Committee 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. As stated above in the definitions section (III D above), a quorum is required for a vote to take place.
- After sufficient discussion of the candidate's case, the eligible faculty present at the meeting will vote on whether or not to recommend promotion and/or tenure. The vote will be by a secret ballot, where the ballot choices will be: in favor, against, or abstain. As stated in the definitions section (III E 1 above), at least two-thirds of the voting faculty must vote in favor for a positive promotion and/or tenure recommendation. An abstention does not count as a vote for purposes of determining the outcome. This action constitutes the recommendation of the Committee of the Eligible Faculty to the Chair.

### **4 Chair Responsibilities**

The responsibilities of the 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.

- **Early Summer:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Subcommittee, the Chair and the candidate. (Also see External Evaluations below.)
- On receiving the Promotion and Tenure Subcommittee report, the Chair will notify the candidate, who may wish to review the essential contents of the report before the meetings of the eligible faculty. Confidentiality for persons who supplied information will be respected to the extent possible, consistent with the Ohio Open Records Act. The Chair shall discuss the report with the candidate and provide an opportunity for the candidate to respond to the report.
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- 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 Chair
  - of the availability for review of the written evaluations by the eligible faculty and Chair
  - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the Chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the Chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the College of Arts and Sciences office by that office's deadline, except in the case of associated faculty for whom the Chair recommends against promotion. A negative recommendation by the Chair is final in such cases.

- To receive the Promotion and Tenure Subcommittee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the 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 Chair, from which point the review follows the procedures described for the Columbus campus faculty.

## **6 Procedures for Research Faculty**

Procedures for promotion of research faculty will be identical with those for tenure-track faculty, with the exception that, in general, there will be no evaluation of formal course instruction, and there will be a minimal expectation of service to the department. Tenure will not be granted to a research faculty member.

Promotion of research faculty is based on a comparison with peers in similar positions both inside and outside the department. The procedures described above for tenure-track faculty are simplified to deal only with the relevant considerations within the requirements stipulated by the Office of Academic Affairs. These constraints in no way diminish the candidate's right to a fair process and appeals.

Bridging support is discussed in the Department of Physics Pattern of Administration.

## **7 External Evaluations**

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track faculty promotion and tenure or promotion reviews, all research faculty promotion reviews, and all adjunct faculty promotion reviews.

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 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 area of and level of expertise, record of accomplishments, and institutional affiliation. The department normally will only solicit evaluations from full professors at institutions comparable to, or more prestigious than, Ohio State, or from non-academic research institutions of note. 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.
- The persons writing evaluation letters should be asked to comment on the quality of the candidate's research and compare the candidate with contemporary researchers at other leading academic institutions and, if relevant, national and industrial laboratories. They should not comment on whether or not tenure and/or promotion should be granted. Letters of evaluation should be requested sufficiently early (approximately 2 or 3 months prior to the review, thus in spring or very early summer) so they are available to the Promotion and Tenure Subcommittee during its deliberations.

Since the department cannot control who agrees to write and or the usefulness of the letters received, several more letters are sought than are required. In addition, requesting the letters by early summer at the latest allows additional letters to be requested should fewer than five useful letters result from the first round of requests. Evaluators solicited for fourth-year review letters will not be solicited for a tenure review.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Subcommittee, the 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>) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the College of Arts and Sciences suggested formats, provided at <https://intranet.asc.ohio-state.edu/apt/external-eval-materials> 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 Chair, who will decide what, if any, action is warranted (such as requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the

department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

## **C Documentation**

The Chair routinely maintains personnel files for each member of the faculty. It is essential that this record be accurate and complete and that the faculty member be aware of the nature and content of the material included. The major categories of information to be filed include:

- Professional and personal data (e.g., Personnel Data Record).
- Correspondence with the faculty member from the time of earliest contact with the institution as a faculty candidate.
- Evaluations of the faculty member, including those made by faculty members and administrators, and those supplied by persons outside of the institution. Included in this category are letters of evaluation and annual review committee reports.
- Information on teaching effectiveness (as defined below) and efforts to improve instruction.
- Appointment records, including salary records and terms of appointment.
- Records indicating that prescribed procedures have been carried out, e.g., consideration for tenure candidacy during the fourth year of service as an Assistant Professor.
- A current curriculum vitae that includes a list of publications, presentations and funding.
- Records of assignments, including teaching, committee work, and research duty.
- Records of all agreements supplementing or departing from standard institutional practices.
- Public records and press accounts that may have been supplied by the faculty member.
- Statements by the faculty member concerning his/her own accomplishments or explaining or responding to evaluations or other items contained in the file.

At no time should the file include anonymous comments or letters of any kind, with the exception of student evaluation forms, which are permitted to be part of the file. Following the provisions governing personnel files given in the university Faculty Rules (Faculty Rule 3335-3-35), information from this file is available to the faculty member. Confidentiality for persons who supplied information will be respected to the extent possible, consistent with the Ohio Open Records Act.

Specific documentation for every candidate for a promotion and/or tenure review, as noted above under Candidate Responsibilities, includes a complete and accurate dossier that follows the Office of Academic Affairs dossier outline (<http://www.oaa.osu.edu/assets/files/documents/CoreDossier.pdf>). While the Promotion and Tenure Subcommittee will make a reasonable effort 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 research and

service noted below is for use during the department review only, unless reviewers at the college and university levels specifically request it.

## **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. Documentation should include:

- cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) or departmental Student Evaluation of Teaching (SET) reports for every class
- peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details provided in Section X of this document)
- A listing 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 and Research**

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. Documentation should include:

- a listing 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 (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted, h-index for citations, etc.)
- scholarly activities as listed in the core dossier including
  - 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 or the last five years, whichever is less. Documentation should 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>) 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>).

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>) 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 Electronic 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. The department reviews eSEI outcomes for all courses.

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

The Chair oversees the department's peer evaluation of teaching process, while usually delegating authority for organization of the process to the Vice Chair for Administration. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The department normally expects:

- to review the teaching of probationary tenure-track faculty at least once per course taught during the first two years of service, and at least once per every other course taught 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 over a two-year period. A minimum of five peer reviews must be included in the dossier of probationary assistant professors being considered for tenure.
- to review the teaching of tenured associate professors at least once per year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a three-year period. Normally, a minimum of three peer reviews will be included in the dossier of associate professors being considered for promotion.
- to review the teaching of tenured professors at least once every four years.
- to review, upon the Chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.

Such a review could also be triggered by exceptionally high student satisfaction, which may be an indicator for a teaching award nomination.

- to review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The 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](http://www.ucat.osu.edu)). Reviews conducted upon the request of the Chair or the faculty member focus on the specific aspects of instruction requested by the Chair or faculty member.

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and may include, in addition to class visitation, review of course syllabi and related instruction materials in the case of those courses that are developed or revised by the faculty member under review. 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 Chair, or designee, has identified. The peer reviewer normally 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 should meet with the candidate to give feedback. For faculty members other than tenured professors, the reviewer submits a written report to the 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.