

Appointments, Promotion, and Tenure Criteria and Procedures
Department of Statistics
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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 (<https://oaa.osu.edu/policiesprocedureshandbook.html>); and other policies and procedures of the college and university to which the department and its faculty are subject.

Should those rules and policies change, the department will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the department chair.

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (<http://trustees.osu.edu/university/facultyrules>) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes, to exercise the standards established in Faculty Rule 3335-6-02 (<http://trustees.osu.edu/university/facultyrules>) and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

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

II. Department Mission

The mission of the Statistics Department is to produce research in statistical science at the level of the best universities in the country and to provide teaching and service at equally high levels of excellence.

Excellence in research involves advancing the state of knowledge in statistical science and its applications. We value highly research in methodology, theoretical statistics, applied statistics and probability, computational science in the presence of uncertainty, and interdisciplinary research. The attainment of excellence necessitates hiring, and then promoting, outstanding new faculty to preserve and enhance our department's strengths in research.

Excellence in teaching involves (1) presenting the most complete and engaging educational product possible in our courses; (2) continuously updating our courses to present state-of-the-art information to our students in the most exciting and stimulating ways possible; (3) introducing innovation in teaching statistical ideas, including new and effective ways to communicate our knowledge; (4) producing outstanding scholars who are capable of serving on the faculty of the very best departments or as leaders in the industrial or governmental sectors, and (5) ongoing evaluation of teaching quality, both by peers

and students, to improve our educational product to the highest possible level. The educational goals can be achieved only in conjunction with excellence in research.

Excellence in service involves demonstrating leadership and carrying out duties responsibly in a collegial manner. It involves ongoing evaluation to ensure that duties are carried out professionally and that the audiences we serve are satisfied. Duties will include service on committees within the Department, College, and University. They will also entail serving on professional committees at the local, state, national, and international levels; providing service in the form of peer reviewing or editing for journals and funding agencies; evaluating other programs as they strive for excellence; and evaluating colleagues at other universities involved in the promotion and tenure process. Finally, duties require sharing the fruits of our educational and research endeavors with the community outside of the University, often through statistical consulting.

III. Definitions

A. Committee of the Eligible Faculty

1. Faculty

The eligible faculty for hiring of tenure track faculty and associated faculty consists of all tenure track faculty excluding the chair whose tenure initiating unit (TIU) is the department.

The eligible faculty for reappointment, promotion and tenure or promotion, and annual reviews of probationary tenure track faculty consists of all tenured Associate Professors and Professors whose TIU is the department, excluding the chair, the dean and assistant and associate dean of the college, the executive vice president and provost, and the president.

The eligible faculty for promotion and annual reviews of a tenured Associate Professor consists of all Professors whose tenure is in the department, excluding the chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

The eligible faculty for tenure of an untenured Full Professor consists of all Professors whose tenure is in the department, excluding the chair, the dean, and assistant and associate deans of the college, the executive vice president and provost, and the president.

2. Conflict of Interest

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

3. Minimum Composition

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

4. Mentors

During a probationary period, each tenure track faculty member will be assigned two faculty members to serve as Mentors to provide professional guidance to the candidate. Each tenured Associate Professor will be assigned at least one faculty member to serve as Mentor. The mentors will be eligible faculty for the mentee. Mentors are appointed annually by the chair.

B. Promotion and Tenure Committee

The Promotion and Tenure (P&T) Committee for a candidate consists of the Eligible Faculty. The Chair of the Department is a nonvoting member of the committee and shall have full access to all materials used in their deliberations.

The mentors of each candidate for promotion and tenure or tenure are to prepare a report to the Promotion and Tenure (P&T) Committee summarizing the materials and pointing out the strengths and weaknesses of the candidate. The mentors, in conjunction with the Chair of the Promotion and Tenure Committee, are also responsible for modifying that report to reflect the discussion and resulting decision of the Promotion & Tenure Committee. They will report the vote in their summary. This summary, when approved by the Promotion & Tenure Committee, constitutes the recommendation of the Promotion & Tenure Committee to the Chair.

C. Quorum

The quorum required to discuss and vote on all personnel decisions is two thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the department chair has approved an off-campus assignment.

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

D. Recommendation from the Committee of the Eligible Faculty

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

Absentee ballots and proxy votes are not permitted.

1. Appointment

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

2. Reappointment and Contract Renewal

A positive recommendation from the eligible faculty for reappointment and contract renewal is secured when a simple majority of the votes cast are positive.

3. Promotion and Tenure, Tenure, and Promotion

A positive recommendation from the eligible faculty for promotion and tenure, tenure, and promotion is secured when two-thirds of the votes cast are positive.

IV. Appointments

A. Criteria

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

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 the time spent as an instructor. This request must be approved by 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. An earned doctorate in a relevant field of study is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the department and the profession is required. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted without a formal request for an extension of the probationary period.

Associate Professor and Professor. Appointment at senior rank requires that the individual, at a minimum, meet the department's criteria in teaching, scholarship, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching

experience or has taught only in a foreign country. A probationary period of up to four years is possible on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

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.

Joint Appointments

Appointments for greater than 0% but less than 50% time in the Department require the same level of academic achievement expected of all other departmental faculty at the same rank. The proportion of teaching, research and service activities in Statistics should be commensurate with the proportion of appointment in the Department. Any appointment made with the Department as the tenure initiating unit must be for 50% or greater FTE. Jointly appointed faculty whose tenure initiating unit is not Statistics may not vote on appointments nor promotion and tenure issues, but may vote on all other departmental matters brought before the faculty.

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. Associated Faculty

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

Assistant Professor, Associate Professor, Professor of <0.50 FTE. An earned doctorate in a relevant field of study is the minimum requirement for appointment to an associated faculty appointment. Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members, with tenure-track titles, are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty but with relatively greater emphasis at each rank to teaching experience and quality, and to service and administration depending on the individual's offer letter.

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

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

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

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

4. Courtesy Appointments for Faculty

Occasionally the active involvement in this department by a tenure-track, clinical, 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 substantial research collaboration, graduate student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

B. Procedures

See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs [Policies and Procedures Handbook](https://oaa.osu.edu/policiesprocedureshandbook.html) (<https://oaa.osu.edu/policiesprocedureshandbook.html>) for information on the following topics:

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

1. Tenure –track Faculty

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in the most recent update of [A Guide to Effective Searches](#),

Searches for tenure-track faculty proceed as follows:

The dean of the college provides approval for the department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The department chair appoints a search committee consisting of three or more faculty in the department.

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 (<https://hr.osu.edu/>) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, and salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print (as opposed to on-line) advertisement appears in a location likely to be read by qualified potential applicants. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U.S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific nationally circulated professional journal.
- Is the primary point of contact with candidates for the position(s). Screens applications and letters of recommendation. May conduct audio and/or video calls as part of the screening process. With possible input from the chair, selects candidates to invite to campus for interviews. On-campus interviews are arranged by the search committee chair, assisted by the department office.

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the department chair; and the divisional dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship. All candidates interviewing for a particular position must follow the same interview format.

The faculty will provide written evaluations on the candidates and, whenever possible, a full faculty meeting will be held to discuss the candidates. After discussion, a vote of the eligible faculty will be held. The purpose of the vote is three-fold: To provide an assessment of whether a candidate is deemed acceptable, to provide a rough rank order of the acceptable candidates, and to authorize the chair to make offers. Further discussion may be held between voting stages.

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

The voting procedure proceeds in three stages. The first stage consists of a screen to eliminate candidates that do not meet a minimum threshold. For this stage, faculty may vote either Yes or No for each candidate. Abstentions and non-votes are not used to determine whether a candidate is deemed acceptable. If more than $\frac{1}{2}$ of the votes cast are Yes, the candidate passes to the second stage; if $\frac{1}{2}$ or fewer of the votes cast are Yes, the candidate is eliminated from consideration.

During the second stage of the vote, the candidates will be ranked, from most preferred to least preferred. Each faculty member will rank the eligible candidates, assigning ranks of 3 (best), 2 (second best), 1 (third best), and 0 (remaining candidates). The candidates are ordered by the sum of their ranks.

The third stage of the vote consists of a more rigorous decision as to whether the eligible candidates should be offered a position. For this stage, faculty may vote either Yes or No for each candidate. Abstentions and non-votes are not used to compute the fraction favoring an offer. If at least $\frac{2}{3}$ of votes cast are Yes, the faculty supports an offer being made to the candidate; if fewer than $\frac{2}{3}$ of the votes cast are Yes, no offer is to be made to the candidate at this time.

In consultation with and approval by the Divisional Dean and the College of Arts and Sciences, the Chair will, at his/her discretion, make an offer to one of the highest ranked candidates who has passed the $\frac{2}{3}$ threshold in the third stage. When multiple offers may be made, the Chair will, at his/her discretion, extend offers to multiple candidates who have passed the $\frac{2}{3}$ threshold at the third stage. These multiple offers will generally proceed in order, from higher ranked candidates, to lower ranked candidates.

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.

The timing of meetings for discussion and voting is at the Chair's discretion. Faculty who are unable to attend the meeting may inform the Chair of their vote in writing or by e-mail. In exceptional circumstances, the Chair may call for an e-mail vote. When the Department is considering candidates for distinctly different positions, as the case may be with senior and/or specially advertised positions, the above procedures are applied to the pool of candidates for the specific position. The conflict of interest provision described in this document under reviews for Promotion and/or Tenure applies to the voting process. Secret ballots are used in all voting and formal meetings; other votes are kept secret by the Chair.

Appointments at the Associate Professor or Professor level shall differ procedurally from those at the Assistant Professor level in deference to the need for additional confidentiality in the process. A search committee shall be constituted by the Chair. One member of that committee shall be designated the Diversity Advocate. The position will be well advertised in appropriate channels. A candidate will be selected by the departmental search committee. He/she will be invited for a visit/interview in which he/she will meet with departmental faculty and with the Divisional Dean. Following the visit, the Department will judge the qualifications of the candidate. The feedback, discussion and voting procedure used for candidates for the position of Assistant Professor will be used for senior candidates. If the decision is positive, a recommendation will be made to the Chair and Divisional Dean. Proposed appointments at senior ranks must be approved by the Office of Academic Affairs before an offer can be made.

Since candidates for senior level appointments must present evidence of teaching ability, this documentation must be a part of the appointment package from the Department. If teaching evaluation

documentation is not available, the appointment may be made without tenure, with a deadline being indicated in the appointment letter as to when the tenure decision will be made (but not to exceed four years after the initial appointment).

Joint Appointments

Joint appointments of tenure track faculty whose tenure initiating unit is the Department of Statistics follow the same basic procedures as for 100% appointments, except that (i) the search committee may include individuals who do not have an appointment in the department, and (ii) feedback from faculty members from other department(s) involved will be considered by the search committee in determining which candidates will be interviewed and by the faculty of the department when voting on the candidates. For joint appointments with a different tenure initiating unit, approval of the Department will be determined by the Chair in consultation with the faculty. Consultation with the faculty should include a vote via secret ballot, with discussion at a faculty meeting preceding the vote. The tenured and tenure track faculty are eligible to vote. A favorable vote of at least 2/3 of those voting is a positive recommendation.

2. Tenure-track Faculty – Regional Campus

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

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

3. Associated Faculty

Associated Faculty. After the dean authorizes a search, the chair and vice chair appoint a search committee of at least three faculty members. At least two members of the committee will be eligible faculty. Associated faculty may be members of the search committee. One of the committee members is appointed to be the Diversity Advocate. Any offer must be based on both a positive recommendation of the search committee and the Executive Advisory Committee, in consultation with the eligible faculty of the department when feasible. After a positive recommendation, the Chair will, at his/her discretion, in consultation with and approval by the Divisional Dean and the College of Arts and Sciences, make an offer.

Lecturers. 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. These appointments must be approved by the Executive Advisory Committee.

Appointments of compensated visiting faculty may be made on annual or semester basis and may be made for up to but not in excess of three years. These appointments must be approved by the Executive Advisory Committee.

Adjunct Faculty. Adjunct appointments are made for the period of one year. A decision for non-renewal can result from an absence of a request for renewal. When such a request is made, the Executive Advisory Committee will renew the adjunct appointment annually; renewal is contingent upon continued significant contributions. Procedures for promotion of adjunct faculty members shall be the same as for promotion of tenure track faculty, except that a negative recommendation by the Chair is not sent forward to the Divisional Dean.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department and is decided by the department chair in consultation with the Executive Advisory Committee.

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

4. Courtesy Appointments for Faculty

Any department faculty member may propose a 0% FTE, courtesy appointment for a tenure-track faculty member from another Ohio State department. This requires a curriculum vitae and nomination letter to the Chair by the nominating member describing why the appointment is appropriate and justification for the appointment. If the appointment is approved by the faculty based on a secret vote which may be in electronic form, the appointment goes into effect. Once appointed, a courtesy appointee shall be reviewed at the end of the four-year term of appointment to determine if the reasons for the appointment are still valid.

V. Annual Review Procedures

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

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

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material must be submitted to the department chair by the date requested by the chair.

The department chair is required (per Faculty Rule 3335-3-35 [<http://trustees.osu.edu/university/facultyrules>]) to include a reminder in the annual review that all faculty have the right (per Faculty Rule 3335-5-04 [<http://trustees.osu.edu/university/facultyrules>]) 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

Every probationary tenure-track faculty member is reviewed annually by the chair based on information provided by the Eligible Faculty. The Chair or Chair's designee will meet annually with every untenured faculty member to discuss performance, future goals and plans. Following this meeting, the Chair shall provide the faculty member and the Divisional Dean with a written assessment of the faculty member's performance and professional development and an indication as to whether the faculty member will be re-

appointed for an additional year. The assessment should include both strengths and weaknesses, and should provide suggestions for improvement of performance, as appropriate.

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

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

1. Regional Campus Faculty

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

2. Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

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

The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment.

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

3. Exclusion of Time from Probationary Period

Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu/university/facultyrules>) 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](https://oaa.osu.edu/policiesprocedureshandbook.html) (<https://oaa.osu.edu/policiesprocedureshandbook.html>).

B. Tenured Faculty

Associate Professors: The eligible faculty for Associate Professors will conduct annual performance reviews of the Associate Professors in a process similar to the annual review process for probationary faculty. In accord with the college deadline, the Chair must provide the faculty member under consideration with a written summary of the outcome of the annual review, documenting strengths, weaknesses, and providing suggestions for improvement of performance.

Professors: The Chair of the Department will review the performance of the Full professors, based on the annual report submitted by each Professor. A written annual review by the Chair is required. The written annual review will be placed in the personnel file of the faculty member. A meeting of the Chair or Chair's designee and the faculty member is required. A copy of these annual review letters is sent to the Divisional Dean.

C. Tenured Faculty – Regional Campus

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

D. Associated Faculty

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the department chair, or designee. The department chair, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department chair's recommendation on reappointment is final.

VI. Merit Salary Increases and Other Rewards

A. Criteria

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

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

Meritorious performance in teaching, scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. High quality and collegial performance in these areas is an essential component of meritorious performance.

For example, meritorious teaching activities include:

- a) Development and implementation of courses.
- b) Development or creation of novel instructional methods or aids.
- c) Excellence in advising thesis research.
- d) Student and faculty testimony of classroom performance; teaching awards.

Meritorious research activities include:

- a) Publication of research-based manuscripts.
- b) Publication of books and review manuscripts provided that a scholarly synthesis of information has been accomplished.
- c) Public presentation of original research at symposia, with particular emphasis being placed on invited participation in research symposia.
- d) Obtaining extramural funding to sponsor research from both federal and corporate sponsors
- e) Facilitating entrepreneurial activities including, but not limited to, invention disclosures, patents, business startups, and corporate engagement activities.
- f) Research awards or honors conferred.
- g) Distribution of innovative computer algorithms.

Meritorious service activities include:

- a) Long-time, quality service in a difficult, time consuming post.
- b) Unusual or difficult administrative or other service assignments carried out with distinction.
- c) Professional activities, such as editorial work for journals, service to professional societies, organization of conferences or symposia, etc.
- d) Voluntary activities which bring tangible benefits to the students, the faculty, the Department, or the University in general.

The time frame for assessing performance will be the past 36 months, with attention to the patterns of increasing or declining productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

B. Procedures

The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. In formulating recommendations, the department chair consults with the department Executive Advisory Committee. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair divides the faculty into at least four groups based on continuing

productivity (high, average, low and unsatisfactory) and considers market and internal equity issues as appropriate.

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

C. Documentation

The annual performance review of every faculty member is based on information submitted to the department chair, primarily in the form of two summary documents – a current CV and an annual activity report. The purpose of these documents is to provide information for the review, and so they should be written in an unbiased fashion, covering both positive and negative aspects of performance, and avoiding “spin”. These documents should be submitted to the department chair by the deadline set by the chair.

- updated CV, which will be made available to all faculty in an accessible place;
- an Annual Activities Report.

The chair may, at his or her discretion, request additional information, including that described below. Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author’s manuscript does not document publication.

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

The time period covered by the documentation described below is that requested in the chair’s solicitation of the annual review.

1. Teaching

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

Peer evaluation of teaching reports as required by the department’s peer evaluation or teaching program (details provided in section X of this document).

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

Other relevant documentation of teaching as appropriate is provided.

2. Scholarship

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

Documentation of grants and contracts received as well as all activities related to entrepreneurial work with business entities.

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

3. Service

Any available documentation of the quality of the service that enhances the list of service activities in the annual report.

VII. Promotion and Tenure and Promotion Reviews

A. Criteria

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

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

Tenure is not awarded below the rank of associate professor at The Ohio State University.

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

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

Excellence in teaching, scholarship, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of 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.

1. Research and Creative Scholarly Work

Research is an essential purpose of the Department. Research leads to better teaching, to innovation in the curriculum, and to the professional growth of the faculty. The Promotion & Tenure Committee evaluates published and unpublished manuscripts as well as work in progress. In evaluating this scholarly and creative work, the Promotion & Tenure Committee relies on evidence offered by the candidate, the expert opinions of the external reviewers solicited independently by the Department, and the first-hand judgement of its own faculty. In all cases, the Committee looks for evidence that the research accomplishments of the candidate have made a significant contribution to the field and that such activity will continue. Such evidence may take the following forms, presented here in no special order.

- a) **Publications:** The Department views "Statistics" as the science of decision making under uncertainty and recognizes all work in this area as research in Statistics. Because of the wide range of applications of Statistics, research papers may appear in very diverse journals. The kind, scope, and quality of publications is considered.
- b) **Other research activity.** Oral presentations and participation in panels or symposia at research conventions are recognized by the Committee. Recognition will be given to: prizes, awards, grants, fellowships, invitations to deliver public lectures in the field of the candidate's scholarship, and to lectures to other academic, governmental or corporate research groups. Obtaining of grants and contracts for funded research is considered evidence of innovative research and good professional standing. Engagement with business entrepreneurship, including invention disclosures, patents, startup companies, and other business ventures, is also valued.

Finally, the pattern of the candidate's performance over the probationary period should yield a high degree of confidence that the candidate will continue to develop professionally.

2. Teaching

The Department of Statistics has a tradition of deep involvement in teaching and expects its members to contribute to this tradition by constantly trying to improve their teaching. To achieve superior teaching effectiveness may require a period of years. It is understood that innovative and imaginative approaches to teaching may be the subject of controversy as to their merits and such controversy should not

necessarily reflect adversely on the faculty member displaying such initiative. An important role of the Department is to provide appropriate courses in statistics to students from other departments. This responsibility places a definite premium on the effective teacher. Thus the Department values the contribution of a faculty member towards the general teaching effort, and poor teaching may provide a basis for denial of tenure. However, excellent performance in teaching responsibilities cannot, by itself, merit departmental approval for tenure candidacy, tenure, promotion, or promotion and tenure, without evidence of achievement in research and scholarly work.

In judging effective teaching, candidates are evaluated on their command of the subject; continuous growth in their fields; ability to organize their material and to present it with logic and conviction; and the extent and skill of preparation in the general guidance and advising of, and concern for their students.

So that the Promotion and Tenure Committee may judge teaching as fully as possible, candidates should submit evidence as requested by the Committee concerning their teaching. The Promotion and Tenure Committee's assessment of teaching takes into account evidence from the period since appointment, including the most recent semesters. Direction of graduate student research is considered an important component of teaching, although Assistant Professors are not expected to supervise Ph.D. dissertations.

Documentation of teaching should include the following, listed in no special order, which will be used to assess the quality of teaching:

a) Student opinions and judgments. For each course with more than four students, the Department requires submission of the Student Evaluation of Instruction (SEI). The resulting scores should be compared with Departmental averages for comparable courses. A consistent pattern of above average scores will be taken as one measure of student satisfaction. A consistent pattern of below average scores will be viewed with concern. Significant discrepancies between the overall rating and scores on other questions in the SEI may also need to be considered in evaluating performance. However, the Statistics Department recognizes that the current SEI procedure does not provide representative indication of student opinion.

In addition to average overall scores on student evaluations, the candidate can document efforts at improvement and demonstrate that these efforts have been effective. Documentation must include evidence of regular visits by peers or mentors for the purpose of evaluation. It may include periodic student evaluations by the faculty member for the purpose of identifying problems, addressing them, and improving the quality of the class. It may include videotaping of lectures or other methods of assessment by the University Center for the Advancement of Teaching. In all cases, the faculty member must demonstrate that this information is being used to improve teaching. The assistance of the faculty member's mentors in formulating and implementing a plan of improvement can be very important.

Candidates may accompany SEI forms with their own assessment of the course and their performance; if candidates have read the students' comments, they may respond to opinions or judgements that seem outstanding because of their frequency, cogency (or lack of it), or relevance (or lack of it).

b) Written evaluations of teaching from faculty colleagues who have attended lectures/laboratory sessions taught by the candidate. Part of the duty of a faculty member's mentors is to prepare annual written reviews of the faculty member's teaching. These reviews will be based on annual classroom visits as well as on all other course materials available concerning the faculty member's teaching. Reviewers will indicate in their reports whether or not the instructor had advance notification of the evaluation visit. While these reports will be included in the overall evaluation of teaching, the primary function of the peer review should be to provide guidance for the faculty member. A summary report will be prepared by the

evaluation committee. If necessary, additional classroom visits by a faculty appointed evaluation committee and not serving as mentors for the faculty member will be conducted.

c) Evaluations made by other faculty members who have worked with the candidate in team-teaching. Peer reviews may include evaluations made by peers who have worked with the faculty in team teaching and reviews by other faculty. In all cases, each review will be evaluated by the Department's evaluation committee during the annual review as to the nature of the review, its objectivity, and the relation of the reviewer to the faculty member.

d) Development by the candidate of new courses or curricula. Development and successful implementation of new courses will be viewed as evidence of quality. Some aspects of success will be measured by student and faculty assessment of the courses.

e) Development of new and effective techniques of instruction and new instructional materials for courses including, if appropriate, syllabi, examinations, laboratory instruction manuals, self-teaching computer programs and tutorial materials. Research into pedagogy and material development will be evidenced by the publication of textbooks, the publication of journal articles, presentations, and obtaining grants. Some of these activities may also be considered as examples of research.

f) Course coordination and course improvement. Successful coordination of multi-section courses including documented improvement in the organization and delivery of the courses. The faculty member should document changes they have made and, whenever possible, obtain student and faculty assessment or other evidence that these changes have improved the course (for example, solved an organizational problem in the course).

g) Directing reading courses for graduate students. An important component of teaching in a research institution is directing theses. In the Department of Statistics, this largely involves directing Ph.D. theses. Involvement in individual research studies, advanced special topics, and service on dissertation reading committees may all be regarded as evidence of contributions to the training of researchers.

h) Development of new degree programs within the Department. Some aspects of success will be measured by student and faculty assessment of the programs.

i) Recognition or awards for distinguished teaching. Teaching awards will be viewed as strong evidence of quality.

j) Teaching-Related Service. Service on College, University, or national committees related to teaching is another way in which faculty may contribute to teaching. The quality of service as attested to by letters of commendation or other documented achievements may provide evidence of contributions to teaching through service.

Candidates are responsible for updating their personnel file regularly to reflect their current achievements in teaching.

3. Service

In addition to teaching and research, a faculty member has an obligation to perform service to the Department, the College, the university, the academic community and, in some cases, to the local community, the State, and the Nation. The forms that such service takes may vary greatly among faculty members. In all cases, service is evaluated within the context of the faculty member's total academic

activities and of the academic goals of the Department. A faculty member has the responsibility for ensuring that service activities do not detract from teaching and research. Service may take the following forms, listed in no special order.

- a) Service to the Department, which may include work on committees or other tasks to which the faculty member has been assigned; coordination of programs and courses; advising students; and any other matters related to the academic goals of the Department.
- b) Service to the College and University, which may include work on committees, other assigned tasks or administrative functions.
- c) Service to the academic community, which may include service in state, regional, national, and international professional organizations as an officer, a member of a committee, or in other assignments on behalf of the organization; work as a consultant in academic matters; work on editorial boards, as a referee of scholarly journal articles and grant proposals; and as an evaluator for faculty members under review at other universities.
- d) Service to government or private organizations, which may include advice on professional matters; expert review of oral presentations, scholarly or policy documents, grant proposals, or as a member of a government or privately sponsored scientific committee.
- e) The Department of Statistics emphasizes both the theoretical foundations of statistics and applications in virtually all disciplines. The Statistical Consulting Service offers students and faculty alike the opportunity to connect theory with practice. Consulting is an aspect of a faculty member's service contribution to the Department and every faculty member is encouraged to participate in this activity.

The evaluation of such service is made by those who have been served by, or who have served with, the faculty member on similar activities. The quality of service may be judged through solicited and unsolicited letters from consultees and others served.

4. Miscellany

Several faculty activities straddle the groupings of research, teaching and service and deserve special mention because of their importance. To meet the demands of its graduate program, the Department needs advisors for theses or dissertations. This activity is considered under teaching but there is a considerable element of research present.

The relationship between collaborating or consulting statisticians and their partners requires the development of special interpersonal skills, which may also be useful in classroom settings. Work in the Statistical Consulting Service helps the consulting statistician understand common sources of confusion and optimal ways to pose questions that lead to a wider perspective. Moreover, good research protocol is at the heart of consultation. Thus, evidence of consulting skills may contribute toward favorable opinions of a statistician as both teacher and researcher.

Each candidate is expected to contribute to the department's role as a community of scholars and to promote collaborative efforts and advances and is held to a high standard of departmental citizenship in carrying out his or her responsibilities in teaching, research, and service. The failure to promote such collaborative efforts or poor departmental citizenship towards peers, staff, and students, in the sense of collegiality in any of the candidate's academic responsibilities, is an acceptable basis for a negative recommendation in the context of these duties.

2. Tenure of Probationary Associate Professor without Tenure

Evaluation of teaching, research, and service are based on the criteria described for use in evaluating probationary Assistant Professors. Outside letters are solicited as part of the evaluation. As this decision is made after only a brief probationary period, the evaluations will be in part based on research, and professional service completed before the candidate joined the Department. The candidate may speak about prior teaching experience in his or her teaching statement, but the teaching record put forward in the dossier should be based on experience at Ohio State.

3. Promotion to Professor

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

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

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

The primary criterion for promotion to the rank of Professor in the Department of Statistics is a distinguished record of research and creative scholarly activity that convinces the eligible faculty that such activity shall continue. Scholarly contributions will be evaluated by leading national and international experts in the appropriate fields.

Evaluation of teaching, research and service is based on the criteria described for use in evaluating non-tenured Assistant, and Associate professors. Performance in these areas is, however, required to reflect a mature status with documented excellence in teaching, and an established international reputation in research. Active direction of Ph.D. theses will be considered as an important factor in the decision at this level. Attracting and graduating an above average number of Ph.D. students may indicate that a faculty member has a special talent in training students. The case would further be strengthened by the extent to which these students complete degrees in a timely manner. Of special importance is the quality of the positions these students obtain and the impact they have on the profession.

In addition, a Department faculty member who is ready for promotion to Professor should serve as a role model for fellow faculty, for students, and for the profession. He/she should also be a good citizen of the Department and of the University. Poor departmental citizenship in the context of assigned duties in research, teaching, or service is an acceptable basis for a negative recommendation.

In addition, as further specified by Faculty Rule 3335-6-02 (<http://trustees.osu.edu/university/facultyrules>), assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another. In reviewing promotion from associate professor to professor, the department will be receptive to cases in which the faculty member has demonstrated excellence in teaching or in areas of scholarship outside traditional original research. Correspondingly less weight will be placed on original research. For a faculty member to be promoted under such conditions, the contributions in other areas must be substantial, sustained, and

of high quality, as demonstrated, for example, by recognitions at the university and/or national levels. For promotion based on excellence in teaching, development and implementation of innovative and more effective approaches to instruction would be helpful in making the case, as well as evidence for above average contributions to the department's teaching mission. Positive contributions in original research will play a more limited, but not negligible, role in the evaluation.

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.

4. Regional Campus Faculty

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

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/university/facultyrules>) and the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the Policies and Procedures Handbook (<https://oaa.osu.edu/policiesprocedureshandbook.html>). The following sections, which state the responsibilities of each party to the review process, apply to all faculty tracks in the department.

1. Candidate Responsibilities

Candidates are responsible for submitting a complete, accurate dossier fully consistent with the 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.

Candidates are to submit 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 external evaluations are required, a list of potential external evaluators is created with the following process. The candidate provides a short list of potential evaluators (typically four to eight names) to the department chair in a sealed envelope. The names are not revealed until later in the process. If the candidate is concerned about a potential lack of objectivity of certain potential evaluators, he/she may convey the names of up to two individuals to the mentors. These conflicted individuals will not be asked to provide evaluations. The department chair and the Promotion and Tenure Committee then meet and develop a list of potential external evaluators. Once this list is developed, the candidate's envelope is opened. The department's list may be supplemented with names from the candidate's list. (Also see External Evaluations below.)

2. Promotion and Tenure Committee Responsibilities

The responsibilities of the Promotion & Tenure Committee are as follows:

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu/university/facultyrules>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
 - Consistent with 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 department chair that an untenured faculty member seeking non-mandatory review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- A decision by the Promotion and Tenure Committee to permit a review to take place in no way commits the Promotion and Tenure Committee, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
 - **Late Spring/Early Summer:** Suggest names of external evaluators to the department 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 to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- Committee chair to make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty, ideally at least two weeks before the meeting at which specific cases are to be discussed and voted on.
- Committee chair to remove any member of the Promotion and Tenure Committee from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review (see Eligible Faculty Responsibilities below.)
- Draft an analysis of the candidate's performance in teaching, scholarship and service, and seek to clarify any inconsistent evidence in the case, where possible. The Promotion and Tenure Committee neither votes on nor takes a position in presenting its analysis of the record.
- Provide a written report on each case following the faculty meeting. The report is to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
- Provide a written response, to any candidate comments that warrant response, for inclusion in the dossier.
- Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure 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 the department's cases.

3. Eligible Faculty Responsibilities

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

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

A faculty member from the Department with a conflict of interest in the case of a particular candidate, even though otherwise a member of the eligible faculty, is not eligible to participate in the faculty deliberations on promotion and tenure for that case. A familial or comparable relationship would certainly qualify as such a conflict of interest, as could a close professional relationship such that the faculty member stands to gain or lose professionally from the outcome of the review of the candidate, or the fact that the faculty member was the candidate's dissertation advisor or post-doctoral mentor. A

conflict of interest may also exist when the faculty member is co-author on a significant portion of the candidate's published work or when the faculty member is dependent in some way on the candidate's professional services. A professional business association might also qualify as a conflict of interest.

If a faculty member who has a conflict of interest refuses to withdraw, the Promotion and Tenure Committee Chair has the authority to exclude the faculty member from the review.

The recommendation of eligible faculty to the Chair will be made by secret ballot at its decision making meeting. All eligible faculty members have the right to vote on the final decision about a candidate, regardless of whether they are physically present at the time of voting, provided they have been present (physically or otherwise) for a substantial portion of discussion on the case and the ballot is received before the beginning of the vote.

4. Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- **Late Spring Semester/Early Summer:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- When appropriate, 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 recommendation by the eligible faculty and department chair
 - of the availability for review of the written evaluations by the eligible faculty and department chair
 - Of the opportunity to submit written comments on the above material, within ten days from the receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she is submitting comments.

- To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure initiating unit by the date requested.

Promotion of Assistant Professors

An Assistant Professor may ask to be considered for nonmandatory promotion and tenure review, or for promotion review, at any time during the first six years of service. Alternatively, the Assistant Professor's Mentors may request a nonmandatory promotion and tenure review. However, the departmental eligible faculty may decline to forward a faculty member for non-mandatory promotion and tenure review or promotion review if the candidate's accomplishments are judged not to warrant such review. Promotion to Associate Professor with tenure, before the seventh year, requires both demonstrated nationally or internationally recognized research scholarship and documented excellence in teaching. The Department Promotion & Tenure Committee will normally make its recommendation during the sixth year review.

Ordinarily, preparations for the sixth year mandatory review begins in the Spring semester of the candidate's fifth year of employment.

At the end of Summer Semester of the fifth year, candidates are asked to submit a current version of their curriculum vitae and samples of research documents, both published and in preprint form.

Only the candidate may stop any review for promotion and tenure once external letters of evaluation have been sought. The candidate may withdraw from review at any stage of the process by so informing the Department Chair in writing. If the review process has moved beyond the Department, the Chair shall inform the Dean or the Provost, as relevant, of the candidate's withdrawal. Withdrawal from the mandatory tenure review during the final probationary year means that tenure will not be granted.

The materials supplied by the candidate, those received as a result of solicitation by the Chair, and the report of the mentors are then made available to the Promotion & Tenure Committee for evaluation. The Chair will convene a decision-making meeting of the Promotion & Tenure Committee, giving at least one week's written notice of the date, time, and location. A quorum, consisting of a majority of the eligible faculty members, except for the final decision-making meeting when the quorum is 2/3 of the eligible faculty, must be present before any decision can be made. The mentors or their designated representatives (with approval of the candidate) should also be present. Following evaluation and discussion, the members of the Promotion & Tenure Committee shall make a decision.

Decisions of the Promotion & Tenure Committee will be made by secret ballot at its decision making meeting. To cast a vote, an eligible faculty member must be present, either in person or by teleconference, for a portion of the final decision-making meeting. The options on the ballot sheet shall be: a) in favor of the proposed promotion (and/or proposed tenure) or b) opposed.

The mentors are then responsible for modifying the report to reflect the discussion and the resulting decision. They will report the vote in their summary. This summary, when approved by the Promotion & Tenure Committee, constitutes the recommendation of the Promotion & Tenure Committee to the Chair.

After the Promotion & Tenure Committee votes, the Chair of the Department will prepare the final departmental recommendation and submit it, along with the votes of the Promotion & Tenure Committee and the committee report, to the Dean. If the Chair departs from the recommendation of the Promotion & Tenure Committee, a meeting of the Promotion & Tenure Committee shall be called and reasons given. The Chair departs from the recommendation of the Promotion & Tenure Committee by:

- a) recommending for promotion or tenure a candidate receiving a less than 2/3 favorable vote,
- b) failing to recommend for promotion or tenure a candidate receiving at least a 2/3 favorable vote.

The 2/3 requirement is met when the number of favorable votes meets or exceeds twice the total of opposition votes. Within one week after the vote, the Chair will inform the candidate whether or not an unambiguous recommendation (at least 2/3 favorable vote, as defined above, of the Promotion & Tenure Committee with concurrence by the chair) for promotion and tenure was obtained from the Department.

As soon as the faculty Promotion & Tenure report and Chair's letter have been completed, the candidate should be notified in writing of the completion of the departmental review and of the availability of these reports. The candidate may waive the right to a copy of the completed dossier; alternatively, the candidate may exercise this right without prejudice. The candidate may provide the departmental chair with written comments on the departmental review for inclusion in the dossier within ten calendar days of notification of the completion of the review. The Promotion & Tenure Committee and/or Chair may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the departmental level is permitted. The candidate has a right to a copy of any response by the Promotion & Tenure Committee and/or Chair.

At the Dean's request, the Promotion & Tenure Committee may reconvene to consider new and substantial information, including written comments by the candidate. The result of any revote by the Promotion & Tenure Committee will be forwarded directly to the Dean, to be included in the candidate's dossier. The candidate will be informed of the result of the vote, in writing.

The Chair shall be responsible for informing the candidate of the progress of the case as it is reviewed in the College and the Office of Academic Affairs. The Chair shall inform the candidate in writing of the Provost's final decision (if negative) or recommendation to the board of trustees (if positive).

Promotion to Full Professor

The promotion to the rank of Full Professor follows very much the same paths as promotion to the rank of Associate Professor, except that there are no time limits. The following departures from the procedure outlined for promotion to Associate Professor should be noted.

1. An annual review of each Associate Professor will be conducted by the eligible faculty. The recommendation of this Committee for each tenured Associate Professor will be one of the following:

- (a) A promotion review for possible promotion to Professor for the next academic year;

(b) No action at this time.

The recommendation will be made on the basis of a vote by the eligible faculty. If a majority of votes are in favor of a promotion review, the recommendation is (a); if no more than ½ of the votes are in favor of a promotion review the documentation is (b).

2. Initiation of the promotion review procedure. A promotion review for a tenured Associate Professor ('the candidate') is initiated in one of the following ways.

(a) By the eligible faculty as indicated in (1).

(b) Normally after either six years in rank or, for a candidate with more than six years in rank, when four years have elapsed since the last promotion review. However, any of these promotion reviews may be postponed by mutual agreement of the candidate and the evaluation committee. If promotion has not occurred after the third promotion review initiated under this provision, further promotion reviews must be initiated by one of the methods (a) or (c).

(c) At the written request of the candidate. A tenured Associate Professor may ask to be considered for a promotion review at any time. The eligible faculty may decline to put forward a faculty member if the candidate's accomplishments are judged not to warrant a promotion review; however, the eligible faculty may not deny a tenured faculty member a promotion review for more than one year.

The decision as to whether a promotion review will proceed is made on the basis of a vote by the eligible faculty. If a majority of votes are in favor of a promotion review, then the promotion review will commence. If no more than ½ of the votes are in favor of a promotion review, then no promotion review will take place.

5. Procedures for Regional Campus Faculty

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

The regional campus dean/director forwards the written evaluation and recommendation of the regional campus review to the department chair, from which point the review follows the procedure described for the Columbus campus faculty.

The procedures for promotion and/or tenure of regional campus faculty follow those of other faculty, except that regional campus teaching and service are evaluated by peers at the regional campus, and the regional campus Dean writes a separate letter of evaluation. Teaching and service at the Columbus campus are evaluated by the Department's Promotion and Tenure Committee.

6. Associated Faculty

The procedure for promotion of Associated Faculty is similar to that for other faculty, with some exceptions. There is no time limit on promotion to the rank of Associate Professor or to the rank of Full professor. The promotion process may only be initiated by the eligible faculty.

An annual review of each Associated Faculty member will be conducted by the eligible faculty. The recommendation of this Committee for each Associated Faculty member will be one of the following:

- (a) A detailed promotion review for possible promotion for the next academic year;
- (b) No action at this time.

The recommendation will be made on the basis of a vote by the eligible faculty. If a majority of votes are in favor of a promotion review, the recommendation is (a); if no more than ½ of the votes are in favor of a promotion review, the recommendation is (b).

Decisions regarding promotion of Associated Faculty will reflect differences in their duties. As examples, the evaluation of Associated Faculty whose duties emphasize consulting will give heavier weight to success as a consultant, to training our graduate students, and to administrative duties associated with the consulting service. The evaluation of Associated Faculty whose duties emphasize teaching will give heavier weight to performance in the classroom and to creative work that makes contributions to statistical education. As part of a promotion review, the Department will solicit written feedback from appropriate sources outside the Department.

7. External Evaluators

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

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and/or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the summer prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04 (<http://trustees.osu.edu/university/facultyrules>) 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 Office of Academic Affairs suggested format, provided at <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted (e.g., requesting permission from the 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.

The Chair will supply the chosen external evaluators with copies of these materials and provide specific instructions about objectivity of evaluation in the letter of request. In addition, the Chair shall also be responsible for obtaining letters from other units in which the candidate has an appointment or substantial professional involvement, whether compensated or not. The Promotion and Tenure Committee shall assist the Chair in identifying appropriate internal evaluators.

The Chair shall keep a strict record of all solicitations made for external reviews, including, where applicable and possible, the reasons given for declining to write a letter of evaluation. All solicited letters that are received must be included in the dossier. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the Chair may not be included in the dossier. This does not preclude the candidate's right to append supporting material as appropriate.

C. Documentation

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

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

- Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.
- Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

1. Teaching

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

- **cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class for which SEI reports are available.**
- **peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details provide in the Appendix to this document)**
- Copies of pedagogical papers, books, or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- teaching activities as listed in the core dossier including:
 - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
 - mentoring postdoctoral scholars and researchers
 - extension and continuing education instruction
 - involvement in curriculum development
 - awards and formal recognition of teaching
 - presentations on pedagogy and teaching at national and international conferences
 - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate

2. Scholarship

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

- Copies of all books, articles, and scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- documentation of grants and contracts received
- other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably or unfavorably cited, grants and contract proposals that have been submitted)
- Scholarship activities as listed in the core dossier including
 - documentation of creative works pertinent to the candidates professional focus including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites
 - documentation of inventions, patents, disclosures, options and commercial licenses
 - list of prizes and awards for research, scholarly, or creative work

3. Service

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

- Service activities are 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/university/facultyrules>) 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/university/facultyrules>).

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/university/facultyrules>) sets forth the conditions of and procedures for a Seventh Year Review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review.

X. Procedures for Student and Peer Evaluation of Teaching

A. Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) is required in every course offered in this department. The faculty member should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

B. Peer Evaluation of Teaching

The department chair oversees the department's peer evaluation of teaching process.

Annually the department chair appoints a selection of tenured faculty to serve as peer reviewers. Reasonable efforts are made to distribute this service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The responsibilities of the peer review process are as follows:

- to review the teaching of probationary tenure track faculty at least once per per year during the probationary period, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned .
- to review the teaching of tenured associate professors and nonprobationary associated 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 .
- To review, upon the department 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.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of University Center for the Advancement of Teaching (<http://ucats.osu.edu/>).

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

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers identified by the chair of the department. The peer reviewer should understand the goals of the course and the candidate's teaching philosophy.

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