

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

## **Department of Anthropology**

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## **I. Preamble**

This document is a supplement to OAA Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>). The Handbook should be consulted for all rules regarding appointments, reviews, promotion and tenure. Should those rules and policies change, the Department shall follow those new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years or on appointment-reappointment of the department Chair.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (<http://trustees.osu.edu/rules/university-rules.html>).

## **II. Department Mission**

The Department of Anthropology strives for excellence in teaching, research, and service. Excellence in research means attainment of national and international recognition, as evidenced by comparative rankings, publications in peer-reviewed journals and other important outlets, external funding, awards, and honors in research. Through innovative research and educational programs, the department will remain at the forefront of anthropological scholarship and education. Our teaching programs will consistently strive to attain high quality in undergraduate and graduate teaching. Strategic emphasis will be placed on the development of focused undergraduate and graduate programs emphasizing areas of faculty expertise that enhance the quality and reputation of research and teaching. The Department of Anthropology strives to increase public awareness of the important role that the discipline plays in contributing to the growing understanding of human behavior, culture, biology, and environment.

## **III. Definitions**

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

The Committee of the Eligible Faculty is comprised of all tenured faculty. Candidates cannot serve as members of their own review committee. All meetings of this committee should include all the members of the committee. However, a committee member on leave, out of the country, or otherwise absent can submit a written statement to be read at the meeting. The committee considers and recommends on all fourth-year reviews and promotion and tenure decisions for probationary faculty. The chair of the committee is appointed for a term of at least two years. The chair of the Committee of the Eligible Faculty schedules and conducts meetings of the committee as needed to undertake and complete annual reviews of probationary faculty, fourth-year reviews, and consideration for promotion and tenure.

When review of an Associate Professor occurs in consideration of promotion to the rank of full Professor, the Committee of the Eligible Faculty will be comprised of individuals holding the rank of Professor. As with reviews of untenured assistant professors, the Promotion and Tenure Committee will consist of three members, to include the Chair of the Committee of the Eligible Faculty and two full professors. Similarly, one of the three members of the Promotion and Tenure Committee will be appointed by the department Chair to serve as the Procedural Oversight Designee (POD) as required by OAA guidelines.

The eligible faculty for reappointment, promotion and tenure, and promotion reviews of regular tenure track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the Department excluding the department Chair, the Deans, Assistant Deans, and Associate Deans of the College, the Executive Vice President and Provost, and the President.

#### 1. Conflict of Interest

A conflict of interest exists when an eligible faculty member: (a) is related to the candidate or has a comparable close interpersonal relationship with the candidate; (b) has substantive financial ties with the candidate; (c) is dependent in some way on the candidate's services; or (d) has a close professional relationship with the candidate on at least 50% of the candidate's published work since the last promotion. Faculty who have such a conflict will be expected to withdraw from a promotion review of that candidate.

#### 2. Minimum Composition

In the event that the Department does not have at least three eligible faculty members who can undertake a review, the department Chair, after consulting with the Dean, will appoint a faculty member from another department within the College.

### B. Promotion and Tenure Committee

The department Chair will appoint a subset of the Committee of the Eligible Faculty in order to constitute a Promotion and Tenure Committee. The P&T Committee serves to evaluate all assistant professors being reviewed for promotion and tenure. The committee membership consists of three regular, tenured faculty from the OSU Columbus campus. The composition of the P&T Committee must be the same for all candidates considered for promotion and tenure during the same year. One of the three members of the P&T Committee will be appointed by the department Chair to serve as the Procedural Oversight Designee (POD) as required by OAA guidelines. The P&T Committee is responsible for evaluating the probationary faculty credentials and for peer evaluations for all candidates who are undergoing the fourth-year review and for

candidates who are being reviewed for tenure and promotion in each year. The P&T Committee presents their assessment of each candidate to the Committee of the Eligible Faculty when the full committee is convened to review the record of each candidate and to vote.

#### C. Quorum

When at least one-half (50%) of the Committee of the Eligible Faculty are present at meetings pertaining to matters of appointment, reviews, promotion, and tenure, this shall constitute a quorum.

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

A vote is considered passed if a simple majority of those voting vote in favor. A vote is not considered passed if a simple majority of those voting vote against. The vote from each member will be either yes (in favor) or no (not in favor). Abstentions are not counted but are included in the report. Voting by proxy is not allowed. If circumstances prevent attendance at a meeting of the Committee of the Eligible Faculty, then participation and voting via video link is permitted.

### **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 and whose research specialties enhance or address departmental research emphases. No one can be invited to join the Department in any capacity without a formal vote from the tenure track faculty. When the department Chair is approached by another unit about the possible hiring of a joint new faculty line (with the TIU being in Anthropology or another unit), the Chair shall consult with the faculty.

##### 1. Tenure Track Faculty

Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department's eligible faculty, the department chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. The minimal criterion for appointment as Assistant Professor or a higher rank is an earned doctorate. Additional criteria include: evidence of scholarship, publications in peer-reviewed, ranked journals, books and book chapters published by leading academic and commercial publishing houses, and monographs; submission of grant proposals and receipt of funding (including graduate research); presentations at professional meetings and symposia; teaching competence documented by student evaluation and peer-review; and service to their research community, including journal and grant reviews, editorial activities, and membership in professional societies. Appointment as an Assistant Professor is always probationary and may not exceed six years, including any prior service awarded at the time of appointment. An Assistant Professor will be reviewed yearly and at the sixth year of service for promotion and tenure. He/she will be informed by the end of the sixth-year process whether or not promotion with tenure will be granted at the beginning of the seventh year.

Associate Professor and Professor. Appointment at these ranks normally includes tenure but a probationary period of up to four years is possible. Criteria include those listed for appointment at the Assistant Professor level. In addition, there is an expectation that individuals seeking appointment as Associate Professor or Professor will have an exceptional record of publication of articles in peer-reviewed, ranked journals; books and book chapters published by leading presses; monographs; an ongoing program of funded research; an exemplary record of service to their field as evidenced by not only memberships in professional societies but also by holding of elective offices and active participation in those societies; evidence of active involvement with graduate education; and an exemplary teaching record as evidenced by student evaluations and peer-review.

## 2. Tenure Track Faculty: Regional Campus

Because 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 greater emphasis on the primary mission of regional campuses—teaching.

## 3. Associated Faculty

Associated faculty are persons with adjunct titles, visiting titles, and lecturer titles; also professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than 50% service to the university. Tenure-track faculty may not hold associated faculty appointments. Persons holding associated titles are not eligible for tenure, may not vote at any level of governance, and may not participate in promotion and tenure matters.

Appointments and reappointments are governed by the following criteria. The person must have the appropriate degree(s) and rank at a comparable institution (if visiting

from another institution). Also, an associated faculty member must substantially contribute to the intellectual life of the Department, be substantially involved in its academic mission, and must interact with students and faculty in research or classroom settings. Associated appointments can be compensated depending on circumstances determined by the department Chair.

Associated appointments may be made for up to three years at a time and thus require formal renewal if they are to be continued. Appointments are approved with a simple majority vote of the faculty. Associated faculty are eligible for promotion but never for tenure.

Lecturer appointments require a minimum of 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.

#### 4. Courtesy Appointments for Tenure-Track Faculty

Courtesy appointments apply to persons who hold a tenure-track faculty position at Ohio State in a department other than Anthropology. These appointments are (1) non-salaried and (2) reviewed at the discretion of the department Chair. Such positions will be made only to fully qualified individuals who contribute to the department's research, service, or teaching mission. Appointments are approved by a simple majority vote by tenure-track faculty.

In general terms, the courtesy appointment is used to recognize substantial (uncompensated) involvement in the life of this Department. This interaction must be ongoing and it must be of sufficient magnitude to warrant formal recognition. For example, frequent membership on Anthropology graduate exam committees, co-authorship of publications with Anthropology faculty, and service in the form of invited lectures and presentations to the Department of Anthropology are indicators of suitable intellectual interaction warranting a courtesy appointment.

#### B. Procedures

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

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

##### 1. Tenure Track Faculty

*Search Procedures.* A national and international search, including but not limited to



advertising in *Anthropology News*, is the norm for all tenure track appointments. A national search can be waived with the approval of the college and OAA. The job description is approved by the faculty in a general meeting. The scope of the advertisement is designed to draw candidates with expertise in the areas in which the Department has agreed to develop and strengthen its faculty. The Search Committee as defined in Part I of the Pattern of Administration conducts the search.

*Short List.* The application materials are sorted, analyzed, and discussed by the Search Committee. It develops a short list to be considered at a meeting of the faculty. Following discussion, the composition of the short list will be voted on as a unit by the tenure track faculty. Votes are a simple majority.

*Interview and Selection.* At the discretion of the department Chair, one or more finalists are invited to the OSU campus for an interview. In addition to the department interviews, the executive Dean of the College of Arts and Sciences or the Dean's designee must interview all candidates. Interviews are scheduled as soon as possible after selecting the final candidates. When all invited finalists have been interviewed, a meeting of the eligible faculty is called to recommend to the department Chair the order of offers.

Rigorous efforts to ensure a diverse pool of highly qualified candidates are in the best interest of the department's intellectual health, and every effort is made to encourage the best people to apply. In addition to the Search Committee, all stages of search will be discussed by the department's Diversity Committee. [For list of protected classes, refer to OAA Policy 1.10 (<http://hr.osu.edu/policy/policy110.pdf>)]

All offers require the approval of the executive Dean. All offers at the Associate Professor and Professor ranks, with or without tenure, and all offers of prior service credit require the prior approval of the college and Office of Academic Affairs.

## 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 appointments are handled on a case-by-case basis. In the instance of securing the services of a visiting professor from another institution, the department Chair proceeds on the basis of the criteria stated above.

### 4. Courtesy Appointments for Faculty

Courtesy appointments will be made by the department Chair, upon the recommendation of the eligible faculty, for a three-year period. Individuals who are approved will be listed with the Anthropology Faculty as a courtesy appointment. Any Department faculty member may propose a courtesy appointment for a faculty member from another Ohio State University department. The proposal includes a curriculum vitae and a presentation of the merits of such an appointment during a faculty meeting. If the department Chair deems circumstances to be appropriate, a review of an individual's courtesy appointment status may be carried out.

Courtesy appointments must be reviewed every three years. Continuation of the appointment should reflect ongoing contributions to the department and the discipline. For example, the department Chair might ask to see evidence that publications authored during the time of a courtesy appointment acknowledge the Department of Anthropology. Unlike associated appointments, courtesy appointments do not require formal annual renewal. Renewal beyond the third year is permissible if the individual is performing according to expectations and approved by the eligible faculty.

## **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, research, and service as described 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.

#### **A. Probationary Tenure Track Faculty**

University rules require annual reviews to determine whether probationary appointments will be renewed. These reviews are scheduled to be completed to meet University notification standards. If the department Chair recommends non-renewal for a probationary faculty, the Fourth-Year Review process (<http://trustees.osu.edu/rules/university-rules.html>) is invoked. Following completion of the comments process, the complete dossier is forwarded to the College for review and the Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

In all decisions on appointment, reappointment, and promotion and tenure the Department follows Faculty Rules 3335-6-02 (A), 3335-6-02 (B), and 3335-6-02 (C). The Department's procedures for promotion and tenure review are consistent with those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>).

Annual review of probationary faculty (i.e., non-tenured) must use the OAA core dossier outline for their annual reports. The dossier must be submitted in the OAA proscribed electronic format. Every probationary tenure-track faculty member is reviewed annually by the Committee of the Eligible Faculty. After completion of the review, the Committee of the Eligible Faculty votes in the meeting via secret (written) ballot, indicating either yes or no.

Annual performance reviews not resulting in recommendations concerning promotion or tenure, but resulting in a recommendation for a continuing probationary appointment, may consist of an interview by the Promotion and Tenure Committee with the candidate concerning teaching, research, and service, supported by a current dossier. The Promotion and Tenure Committee reports to the Committee of the Eligible Faculty who vote as a group. This vote constitutes a recommendation to the department Chair. The department Chair meets with the candidate and communicates his or her recommendations in writing to the candidate, to which the candidate may respond in writing. Both documents are placed in the candidate's personnel file.

Probationary faculty are informed at the time of initial appointment, and in a timely fashion each year thereafter, when the annual performance review will occur. As part of this notification, they will be informed when the dossier is due to the Committee of the Eligible Faculty.

All annual performance review letters are part of a faculty member's dossier for subsequent reviews during the probationary period, including the review for promotion and tenure.

If the department Chair's recommendation is to reappoint the faculty member to another probationary year of service, that recommendation shall be final. A recommendation from the department Chair not to reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures.

Probationary appointments may be terminated during any probationary year because of inadequate performance or inadequate professional development. At any time other than the fourth year review or mandatory review for tenure, a non-renewal decision must be based on the results of a formal performance review conducted in accord with fourth year review procedures. Notification of non-renewal must be consistent with the standards of notice set forth in Rule 3335-6-08 of the Administrative Code.

## 1. Regional Campus Faculty

In the case of regional campus faculty, the review 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. At the Department, the review emphasizes evaluation of research, but also considers service pertaining to the Department and discipline and to teaching as it relates to activity on the Columbus campus (e.g., courses taught, graduate student advising, and other significant activity). In the event of divergence between the regional campus and Department in the performance assessment, the department Chair will discuss the matter with the regional campus Dean/Director in an effort to clarify and reconcile the divergence so that the faculty member receives consistent assessment and advice.

## 2. Fourth Year Review

The fourth year review of probationary faculty follows the same process as the review for promotion and tenure at the Tenure Initiating Unit (TIU) and College levels with one exception: solicitation of external letters of evaluation is not required by the tenure initiating unit. External letters may be requested under rare circumstances, such as in regard to seeking evaluation where additional expertise is necessary. Should external letters be requested, the determination to solicit external letters will be made by the department chair after consultation with the chair of the Committee of the Eligible Faculty. The department Chair shall inform the Dean in the event that letters are requested.

The department Chair's letter of evaluation is to be written to the Dean rather than to the candidate in the same format as sixth year review letters. Renewal of the appointment of a probationary Assistant Professor for the fifth year requires the approval of the Dean of the College. As with the promotion and tenure review, the comments process must be followed.

## 3. Exclusion of Time from Probationary Period

Per Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu/rules/university-rules.html>), a probationary tenure track faculty may exclude time from the probationary period. A maximum of 3 years can be excluded from the probationary period. Exclusions to 3 years are approved under extraordinary circumstances. The Department may advise the faculty member to exclude time, but doing so is not a requirement.

Faculty members are guaranteed an exclusion from the probationary period of one year for the birth of a child or the adoption of a child over age 6. The maximum number of years of the exclusion period is 3 years.

Exclusion of time can also be applied for under circumstances involving adverse events that impede productivity that are beyond the control of the faculty member. The request is reviewed by the department Chair, and, if approved, passed on to the Dean and the Office of Academic Affairs for their approval. All exclusions must be approved before April 1 of the year before mandatory review.

Even under circumstances involving exclusion from the probationary period, the faculty member remains on duty. Moreover, the annual review continues in the probationary year.

#### B. Tenured Faculty

These review procedures must be consistent with Office of Academic Affairs policies described in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>). A written annual performance review and meeting with the Chair are required. The chair provides the faculty member with a written review that both assesses past performance and discusses future plans and means to attain them. The letter from the chair to the faculty member will also point out their right to review their personnel file and provide written comments on any of the material contained in that file, including the annual performance review letter. The annual performance letter becomes a part of the cumulative dossier below the rank of Professor.

#### C. Tenured Faculty—Regional Campus

The annual review 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. At the Department, the review emphasizes evaluation of research, but also considers service pertaining to the Department and the discipline and to teaching as it relates to activity on the Columbus campus (e.g., courses taught, graduate student advising, and other significant activity). In the event of divergence between the regional campus and Department in the performance assessment, the department Chair shall discuss 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.

## VI. Merit Salary Determinations

Every full-time faculty member on the Columbus campus in the Department of Anthropology has an annual performance review presented as a letter written by the department Chair to the faculty member. For untenured faculty, this review monitors progress towards promotion and tenure. For all faculty, this performance review is the basis for adjustments in annual salary and teaching loads for the following academic year.

#### A. Criteria

Annual salary determinations are based on information provided in the annual report (see below) by the faculty member to the department Chair. The items considered in the Chair review of each faculty include, but may not be limited to, scholarly productivity, especially publications (authored and edited books, peer-reviewed articles, book chapters, and research monographs), teaching performance (summaries of SEIs and other evaluation measures are to be submitted), service on committees, service to the discipline and the local community, and graduate and undergraduate student advising. The dimensions of these activities are specified by the

department's promotion and tenure procedures and the Distribution of Faculty Duties and Responsibilities found in the Pattern of Administration (see Section II).

In the annual performance review letters, the department Chair places the current year's record in perspective with goals articulated in this document and previous annual performance review letters to the faculty member. Progress or lack thereof in achieving said goals is the basis for evaluation.

## B. Procedures

The following are the key components of the annual performance review. Probationary faculty must submit their annual performance review material in the OAA dossier format.

Annual performance materials are due February 1 of each year. Each faculty member provides the department Chair with a brief narrative (usually one page) outlining their primary accomplishments and plans for future activity; and an updated dossier. With the exception of publications, the professional activities pertain to the previous calendar year. For publications, the record pertains to the previous three calendar years. For all faculty who have used the electronic format of the dossier for their annual report, the report must be submitted in electronic format. For faculty who have never used the electronic format, they must submit the report in the format provided by the department Chair. Submission of the dossier is central to the evaluation. It must include key areas relating to scholarship (including publications, the rank of journals, citation counts, presentations at professional conferences, grants submitted and funded (with dollar amounts), and other research activity, teaching, and service. The performance evaluation reports are then prepared by the department Chair, based on the information a faculty member provides.

As part of the review process, tenured faculty are required to meet with the department Chair to specifically discuss the annual performance evaluation presented in the Department Chair's letter. The meeting of the department Chair with probationary faculty is also mandatory. For faculty teaching at regional campuses, the discussion can take place via telephone if that is more convenient for the faculty member.

## C. Documentation

If a faculty member does not provide the required performance data by the requested date (including having those data collected in any manner mandated by this document), then there shall be no merit raise.

The following information is the format to be used in providing information for annual performance reviews. The information is to cover the calendar year. In addition, one document must be submitted:

--Updated Office of Academic Affairs dossier (<http://oaa.osu.edu/handbook.html>). All untenured faculty must complete the electronic version of the dossier. Faculty who are tenured

but who completed the electronic version while a probationary faculty must continue updating the electronic version annually.

## 1. Teaching

By February 1, each faculty member must provide the following information:

a. For each course taught: course number and title; enrollment figures; summarized course evaluations (SEI). Faculty members are expected to compare their evaluations with college and university norms that are provided on the SEI. Other items to be provided are a copy of the SEI, course syllabi, information on new courses taught, and field schools. These items are submitted as evidence as part of the dossier.

Note: The SEI forms for each class are electronically accessed towards the end of the course by the students enrolled. The instructor has electronic access to the SEIs and their summary data after the due date of final grades. Individual SEI student evaluations are compared to the college and university mean scores. Faculty members may use other evaluation instruments in addition to the SEI for their own purposes, but they cannot serve as a substitute for the SEI. Faculty rule 3335-3-35 states that student opinions must be obtained for every formal course every year. The instructor should make every effort to encourage evaluation in line with the faculty rule. Failure to evaluate every course will be grounds for no merit pay.

b. Teaching award received during the evaluation period.

c. 6693, 9993, 9999, and H7783 students directed.

d. Number of MA and Ph.D. students advised; number of graduate and honors committees served; number of dissertations or honors theses advised; number of M.A. theses and examining committees served on; and number of times served as an external examiner for the Graduate School.

## 2. Research

a. Publications (items published during the most recent three calendar years)

i. List books and the publisher and faculty role, i.e., author, co-author, or editor.

ii. List book chapters with complete references with indication of origin (submitted or invited).

iii. List journal articles, book reviews and comments. List

published abstracts separately. If the journal is a ranked and peer-reviewed publication, provide the impact factor and ranking (from ISI's Web of Science). If co-authored, indicate percentage of work faculty individual contributed. Indicate if co-author(s) is a student.

iv. List all items that are submitted for publication and that have been accepted for publication.

v. Indicate quality by inclusion in Social Science Citation Index, Arts and Humanities Index, Science Index, number of times publications were cited, both in the last available calendar year and lifetime, including number of self-citations and total citations.

b. Research Grants: List grant titles; co-investigator's names; granting agency; amount of award if awarded; and if you are co-PI, clearly and concisely describe your role; give period of funding (beginning and end dates).

### 3. Service

a. List committees and administrative assignments.

b. List service as panel/symposium organizer, member of editorial board, editor of journal, offices held, article refereeing, book or grant refereeing, expert witness or testimony, talk for public groups, media appearance, consulting.

c. Professional Presentations and Invited Lectures

i. Provide the name of the talk, the venue, and indicate if invited or volunteered paper.

d. Others

i. Description of professional assistance in helping students publish material, give professional presentations, or receive grants.

ii. List of outstanding or unusual community service.

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

### A. Criteria

According to Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules/university-rules.html>): *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.* The Department of Anthropology follows the standards for promotion and tenure outlined by the College of Arts and Sciences. The Department of Anthropology values commitment by its faculty to strong citizenship and an environment of collegiality. Although citizenship and collegiality cannot be used as an independent criterion for promotion or tenure, these positive attributes characterize the ability of a faculty member to effectively contribute to exemplary scholarship, teaching, and service. A commitment to these values and principles can be demonstrated by constructive responses to and participation in University and College of Arts and Sciences initiatives. Examples include participation in faculty governance, outreach and service, ethical behavior, adherence to principles of responsible conduct of research, constructive conduct and behavior during the discharge of duties, responsibilities and authority, and the exercise of rights and privileges of a member of the faculty as reflected in the “Statement of Professional Ethics” of the American Association of University Professors.

## 1. Promotion to Associate Professor with Tenure

Faculty Rule 335-6-02 (<http://trustees.osu.edu/rules/university-rules.html>) provides the following general criteria for promotion to associate professor with tenure:

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

Further, according to Faculty Rule 3335-6-02 (B): *Tenure will not be awarded below the rank of Associate Professor.*

Every candidate will be held to a standard of high attainment in all aspects of performance. The record is expected to show clear evidence of an ongoing, coherent, focused research agenda that has developed beyond the topic of the Ph.D. dissertation.

### a. Teaching

i. High quality teaching is the expectation of every faculty in the Department of Anthropology. Teaching competence is judged on the basis of peer evaluations (e.g., in-class visitations once an academic year

for probationary faculty), documentary evidence, and student evaluations (SEI scores for every class taught by a faculty member). The evaluation of teaching is viewed comprehensively, including a range of areas such as: creation of new courses, programs, or teaching/research facilities, as well as participation in curriculum planning. Other evidence may include course materials, examinations and their uses, teaching innovations, student evaluations, advising, honors theses, graduate advising and committee service and direction of M.A. theses and Ph.D. dissertations, nomination for and receipt of teaching awards and prizes, and publications related to teaching, such as textbooks. Peer evaluation refers to the results of the deliberative bodies—the Promotion and Tenure Committee and the Committee of the Eligible Faculty—along with class visitations. Class visitations can be made by any tenured member of the Department faculty.

ii. Teaching in the university setting is also indicated by other evidence, such as writings and presentations on pedagogy (including textbooks); descriptions of successful innovations in instruction and instructional materials; the development of new courses or the significant revision of existing courses; the development of new program initiatives or teaching/research facilities; and service as adviser to student organizations. Still other evidence may consist of noteworthy accomplishments of graduate students for whom the faculty member has been adviser, such as presentations and publications during or emanating from the graduate program, grants and awards for graduate work, dissertation awards, or first post-graduate positions.

iii. Faculty who have not provided thorough documentation of teaching and Ph.D. advising will forego non-mandatory reviews (e.g., promotion to Professor) until such documentation is made available.

## b. Research

i. Research activities include, but are not limited to, submission of grant proposals (including those to support graduate student research), award of grants, direction of team research projects, and other dissemination of research results, including presentations at scholarly meetings, conferences, and symposia. Extramural grant support is preferred.

ii. Publications are the most significant evidence of scholarly activities. Only publications of scholarly relevance are considered. These include authored books, edited books, book chapters, monographs, articles in professional journals, and book reviews. For publications in journals, those that are peer-reviewed and highly ranked are preferred. A number of important journals are not ranked by common indexes (e.g., *SSCI*),

especially regional or specialty journals, and are also considered important venues. Journal rankings and impact factors (if available) must be provided by the candidate. Citation frequencies for one's work must be provided. One's role in multiple authored publications must be explained. Authored and edited books and contributions to books (i.e., chapters) are especially significant if published by strong academic or commercial presses.

### c. Service

i. Scholarly service such as editorships, memberships on editorial boards, and journal manuscript reviewing are significant scholarly activities, as is service on grant review panels. These are evaluated based on the rank or recognition of the journal or professional society. Holding an office in a professional society is a recognition of one's professional status.

ii. Academic service includes committee work in the department, college, and the university. The number of committee appointments and the quality of participation on committees is evaluated, as well as service as the Graduate School Representative on Ph.D. examinations, and general advising of students.

iii. Activities involving the practical application of anthropology that are evaluated include the following: the production of materials, guides, and plans; requests for and provision of consulting services; provision of workshops, seminars, in-service training programs; service on special committees or task forces; the creation of new programs; teaching anthropology courses for professionals outside of anthropology; managing or directing programs; and receiving of awards or honors from professional organizations or communities for applied contributions -- indicate that the work of applied anthropologists has passed public scrutiny, and that it has relevance, significance, and credibility.

iv. Community Service includes non-professional services such as public lectures, work with campus clubs, service groups, consulting, and government service, as long as such activities facilitate anthropological teaching and research, or the application of anthropological knowledge.

## 2. Promotion to Professor

Promotion to the rank of Professor must be based on convincing evidence that the faculty member has a sustained record of high quality teaching, has produced a significant body of scholarship that is recognized nationally or internationally, and has demonstrated leadership in service. Candidates for the rank of Professor must present evidence of active involvement with graduate student teaching and advising of Ph.D. research. It is

important to document grant proposals for Ph.D. research. The pattern of performance over the period prior to review should yield a high degree of confidence that the candidate will continue to develop professionally, and continue to be highly productive.

### 3. Regional Campus Faculty

The criteria for promotion to Associate Professor with tenure and promotion to Professor for regional campus faculty are similar to those for equivalent ranks on the main campus. In addition the criteria are adapted to reflect the following considerations: that the primary mission of the regional campuses is undergraduate teaching; that the teaching and service responsibilities of regional campus faculty are usually more substantial than those of Columbus-based faculty, and that regional campus faculty may not have access to research facilities comparable to those of Columbus-based faculty. Taking these factors into consideration, the criteria for promotion to Associate Professor with tenure include the production of research at a high quality level that indicates an active research agenda and publication in recognized peer reviewed and ranked journals, but with a lower expectation in terms of the rate of publication than that held for Columbus-campus faculty. Effective, high quality teaching is given primary weight. The criteria for promotion to Professor include high quality teaching and service, and recognition of scholarly achievement as evidenced by publications in major journals, and as supported by peer review. The pattern of performance over the period prior to review should yield a high degree of confidence that the candidate will continue to develop professionally, and continue to be highly productive.

### B. Procedures

The mandatory sixth year review, completed in Autumn Semester, determines if the candidate will be granted tenure effective with the seventh year of employment. If tenure is not granted, then the appointment is terminated after the end of the seventh year (i.e., May 31). In the sixth year review, the following materials from the fourth year evaluations are included in the dossier: Committee of the Eligible Faculty report, Department Chair's evaluation, College Promotion and Tenure Committee report, executive Dean's letter, and any comments by the candidate on these materials. The Department follows Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>), specifying conditions of and procedures for this review for a faculty member denied tenure. For non-mandatory reviews, the dossier will include the Committee of the Eligible Faculty report, department Chair's evaluation, and comments submitted by the candidate on these materials. While the entire academic record pertaining to research, teaching, and service are included in these materials, the emphasis in the review is placed on the period of time since promotion to Associate Professor.

#### 1. Candidate Responsibilities

The candidate is responsible for preparing and submitting to the department Promotion and Tenure Committee a complete and accurate dossier that is fully consistent with the guidelines of the Office of Academic Affairs. The due date for materials will be

established in order to ensure compliance with Division, College, and University deadlines. Candidates are responsible for reviewing the list of potential evaluators developed by the Promotion and Tenure Committee with input from the Committee of the Eligible Faculty, and the department Chair.

*Note:* It is advisable for faculty of the Assistant and Associate Professor ranks to attend College workshops on promotion and tenure and to periodically inquire about additional/revised procedures in the review process.

2. Promotion and Tenure Committee and Committee of the Eligible Faculty Responsibilities. The Promotion and Tenure Committee shall:

a. Review the dossier annually and to recommend proposed revisions to the candidate.

b. Hold an annual conference with the candidate on or about March 15 for each of the candidate's first, second, and third years to discuss the candidate's progress towards promotion and tenure.

c. Hold a meeting in the Spring Semester to vote on continuation of the candidate's appointment for the following year.

d. Hold a conference with prospective candidates for tenure or promotion on or about March 15 of the candidate's fifth year. This conference deals with procedures, documentation, and any other relevant matters. The Promotion and Tenure Committee, with input from the department Chair, develops the calendar for submission dates of relevant materials. Among the relevant materials will be scholarly works (publications) presented to external reviewers for their assessment and comment. The Promotion and Tenure Committee will consult with the candidate for appropriate works. The review proceeds based on the material submitted by the candidate by the designated deadline, usually on or about September 15, in the candidate's sixth year. External evaluation letters will, however, be solicited by the end of the Spring semester of the candidate's fifth year.

e. Conduct a review of candidates following the criteria outlined above and based upon the documentation submitted. This includes letters of evaluation from specialists in the candidate's field at other institutions.

f. Present the Promotion and Tenure Committee report to the Committee of the Eligible Faculty at a meeting of said faculty committee.

g. Act as an evaluative, not an advocacy group. This group generates an analytical report based upon their own deliberations. The report is then revised or otherwise amended based upon discussion of the Committee of the Eligible

Faculty. The report of the Committee of the Eligible Faculty also presents the vote of the Committee. Only the final report of the Committee of the Eligible Faculty is included in the candidate's dossier.

h. Inform the department Chair who then calls a meeting of the Committee of the Eligible Faculty. The report to the department Chair includes all supporting statements and documentation. The Committee of the Eligible Faculty will have access to all materials, including the P&T Committee report.

At the meeting of the Committee of the Eligible Faculty, discussion will ensue regarding the qualifications of the candidate for promotion and tenure. A vote will then be taken at the meeting. Following the meeting of the committee, the Promotion and Tenure Committee will then prepare a report on the candidate, summarizing the candidate's qualifications, the discussion of the Committee of the Eligible Faculty meeting, the vote of the Committee, and the reasons for the vote. This document is presented to the department Chair by the Committee of the Eligible Faculty Chair, and then added to the dossier of the candidate.

When a faculty member of a regional campus is reviewed, the Dean of that campus will provide the Promotion and Tenure Committee with a written evaluation of the candidate. The selection process for external evaluators for regional campus faculty members is the same as for Columbus campus faculty. Regional campus faculty members undergo the same evaluation, using the same evaluation criteria, as faculty members on the Columbus campus. However, the weighting of such criteria will reflect the different demands placed on regional campus faculty members, especially with regard to the greater demands of teaching at regional campuses.

### 3. Department Chair Responsibilities

The responsibilities of the department Chair are as follows:

a. To work with the Committee of the Eligible Faculty Chair to solicit external evaluations from a list including names suggested by the Committee of the Eligible Faculty, the department Chair, and the candidate.

b. To make copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least one week before the meeting at which specific cases are to be discussed and voted upon.

c. To attend the meetings of eligible faculty at which P&T matters are discussed, to respond to questions raised during the meeting, and to offer clarifications on points arising. The department Chair presides over faculty meetings dealing with tenure or promotion, but does not cast a vote.

d. To prepare his/her evaluation report. The department Chair is not bound

by the faculty's vote in making a recommendation to the Dean but is obligated to inform the faculty if giving a dissenting opinion. When the department Chair makes the recommendation to the Dean, the department Chair must report the faculty's vote and submit their recommendation along with his/her letter.

e. To inform each candidate in writing after completion of the department review process of the availability for their review of the written evaluations by the Committee of the Eligible Faculty and the department Chair and of the opportunity to submit written comments on the above material, within 10 calendar days from receipt of the letter from the department Chair for inclusion in the dossier.

f. Should the department Chair wish to, he/she may provide a written response to any candidate comments for inclusion in the dossier. Similarly, the Committee of the Eligible Faculty may choose to provide a written response. The Committee letter is addressed to the department Chair. The department Chair response is addressed to the executive Dean.

g. To forward the completed dossier to the college office by the office's deadline.

#### 4. Procedures for Regional Campus Faculty

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

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

#### 5. External Evaluations

External evaluations of research and scholarly activity are obtained for all promotion reviews in which research must be assessed. These include all tenure track promotion and tenure or promotion reviews. 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 during the review, then 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 (i.e., requesting permission from OAA 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, then 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 candidate may suggest external evaluators, but not more than 25% of the original reviewer list. No more than 50% of the final letters in the dossier will be from the names suggested by the candidate. The Promotion and Tenure Committee establishes a list of external evaluators. This list is shown to the candidate who indicates if any names should be removed because of potential conflict of interest (such as an advisor or co-author), or if other suitable reasons for exclusion might exist. The Promotion and Tenure Committee and department Chair must concur with a candidate's assessment of unsuitability of an external evaluator for removal to occur.

A minimum of five outside evaluative letters are required for purposes of the promotion and tenure and promotion review. All solicited letters must be included in the dossier. Unsolicited letters, letters of evaluation, or other comments solicited by anyone other than those authorized to request them may not be included. The department Chair may solicit the advice of the Social and Behavioral Sciences Dean as to the appropriateness of individuals appearing on the external evaluator list.

Persons asked to provide evaluations should be advised that their letters must be analytical, carefully weighing the strengths and weaknesses of a candidate, and assessing the candidate's work with particular emphasis on originality and impact on the field. The letter should be one of analysis and assessment. Letters of request to external evaluators will include samples of the candidate's scholarly work (publications).

Credible evaluators will usually be faculty at other highly ranked major research universities who hold higher rank than the candidate, who have appropriate expertise, and who do not have a close personal or professional relationship with the candidate.

A sample letter body is provided below (and see <http://oaa.osu.edu/sampledocuments.html>). A copy of this letter and a list of what was sent to the evaluators must be in the dossier.

*The Department of Anthropology is considering Dr. \_\_\_\_ for promotion to the rank of \_\_\_\_\_. Dr. \_\_\_\_\_'s performance in teaching, research and service will be evaluated at the Department, College, and University levels to determine whether promotion and tenure (promotion) will be granted. I am asking you only to provide a critical assessment of Dr. \_\_\_\_\_'s research. However, if you have information about Dr. \_\_\_\_\_'s teaching or service that would be helpful in the review process, please feel free to provide that information.*

*Enclosed you will find a copy of Dr. \_\_\_\_\_'s curriculum vitae and copies of the following publications:*

*Your letter should comment in some detail on the significance of the overall research program as well on individual papers, including the scientific merit of the work, its originality, and its impact on the field of study. How would you compare Dr. \_\_\_\_\_ to other researchers in this field at the same stage of career development?*



*You are not being asked whether Dr. \_\_\_\_ should be promoted and tenured (promoted) at Ohio State or would not be promoted and tenured (promoted) at your institution.*

*Under the Ohio Open Records Act, all documents related to promotion and tenure reviews, including letters of evaluation, are public records. All faculty voting on this case have access to the letters. We cannot promise confidentiality.*

*Thank you for your time and effort in responding to this request. If for any reason you will not be able to evaluate this candidate or if you have any questions about this process, please contact me at \_\_\_\_\_ immediately. I would appreciate receiving your response by (date).*

### C. Documentation

As described above (see Candidate Responsibilities), every candidate must submit a complete and accurate dossier that follows the OAA dossier format. Although the Committee of the Eligible Faculty and department Chair make every effort to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are required of the candidate. For example, the candidate for promotion and tenure must include a letter from a peer reviewer (tenured faculty member) containing the in-class teaching evaluation. Similarly, every candidate being considered for promotion to Professor must have a peer class evaluation prior to the review of the dossier and other evaluative materials by the Committee of the Eligible Faculty. This typically takes place no more than one year prior to the review. It is the interest of the candidate—for either promotion and tenure review or promotion review—to confirm that the in-class evaluation has taken place. If the evaluation has not taken place, then the candidate must inform the Committee of the Eligible Faculty chair to attend to the matter.

In addition to the dossier and Curriculum Vitae, the following evaluative materials from teaching, research, and service are to be included:

#### 1. Teaching

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

--Peer evaluation of teaching reports for probationary tenure track faculty as required by the department, namely at least four times during the first three years of service, and at least once during the remainder of the probationary period. In-class visitation reports should be a combination of information on how the class was conducted and content presented by the instructor. Other areas for inclusion in the written reports may include an evaluation of the syllabus, exercises, quizzes and exams; classroom atmosphere, including treatment of students and openness to differing points of view; instructor's knowledge of the material, including how the material covered reflects current

information, practice, and technology; and methods of presentation, including delivery of information, appropriateness of method to materials covered, amount of student participation encouraged, effective use of class time, and flexibility in meeting students' needs.

--Reporting of the record of teaching as outlined in the core dossier

## 2. Research

For probationary faculty (assistant professors being evaluated for promotion to associate professor and tenure):

--Copies of all publications

--Scholarly achievements as stipulated in the dossier

For non-probationary faculty (associate professors being evaluated for promotion to Professor)

--Copies of a selection of publications pertaining to those being sent to external evaluators. These will be predominantly from the period following tenure and promotion, but may contain a sample from the period prior to the review for promotion.

## 3. Service

-Identification of all service to department, College, University and to profession as stipulated in the dossier guidelines.

## **VIII. Appeals**

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

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

## **IX. Seventh-Year Reviews**

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

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

### A. Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in the Department of Anthropology. Faculty should alert students enrolled in the course to be sure to complete the electronic form.

#### B. Peer evaluation of teaching

In collaboration with the Chair of the Committee of the Eligible Faculty, the department Chair oversees the department's peer evaluation of teaching. They meet at some point in the beginning of each academic year and identify what faculty are to be evaluated. If a faculty member is of probationary status (tenure-track Assistant Professors), then they are to be evaluated at least four times during the first three years of service (and see above) by a faculty member of either Associate Professor or Professor rank. The goal is to assess teaching at all levels of instruction (undergraduate and graduate) to which the faculty member is assigned. Teaching of tenured associate professors will occur at least once every two years, with the same goals as for probationary faculty. If an associate professor is to be evaluated for promotion to professor in the following academic year, then a course is selected for evaluation by an individual of Professor rank. The visits for in-class teaching evaluations are pre-planned and are mutually agreed upon by the candidate and the chair of the Committee of the Eligible Faculty. Only tenured faculty can serve as reviewers. Generally, the Promotion and Tenure Committee initiates the visits. However, it is responsibility of the candidate to give reminders to the Chair of the Committee if the visits are overlooked. The peer evaluation letter is addressed to the Chair of the Committee and copied to the department Chair. Following the class visitation, the faculty member reviewing the class provides a written report in the form of a letter to the department Chair and copied to the faculty member. All such reports are filed by the department Chair and included as part of the candidate's dossier at the time of promotion and tenure and promotion reviews. Upon the department Chair's request, the teaching of any faculty member, including full professors, can be undertaken. These reviews are normally initiated by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching performance. In addition, any faculty member can request an in-class visitation and review, but these reviews are generally for formative purposes only and the report is provided only to the faculty member requesting the review.

For purposes of annual review and salary evaluation, faculty are required to include reports of in-class evaluations, with the exception of those reviews initiated by individual faculty.