

**APPOINTMENTS, PROMOTION, AND TENURE
CRITERIA AND PROCEDURES FOR THE DEPARTMENT OF ECONOMICS
(Last Revised: April 25, 2017)**

**DEPARTMENT OF ECONOMICS
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I. PREAMBLE

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty Tenure-track (<https://trustees.osu.edu/bylaws-and-rules/university-faculty-rules>); 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/policies-and-procedures-handbook>; 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 Executive Dean of the college or designee 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 (<https://trustees.osu.edu/bylaws-and-rules/3335-6>) 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 (<https://trustees.osu.edu/bylaws-and-rules/3335-6>) and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

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

II. DEPARTMENT MISSION

The mission of the Department of Economics is to achieve excellence in research, teaching, and service. Excellence in research means attaining national and international recognition, as evidenced by, for example, comparative national rankings, the amount of high quality published scholarly research, citation counts, external funding, and awards and honors. Excellence in teaching means offering to all students the opportunity to realize their full potential for learning Economics and offering to the most capable and motivated students an enhanced learning experience. Excellence in service means providing a high level of professional expertise and experience not only to professional organizations but also to the College, the University, the Columbus community, the State of Ohio, and the nation.

III. DEFINITIONS

A. COMMITTEE OF THE ELIGIBLE FACULTY

The eligible faculty for all appointment (hiring), reappointment, contract renewal, promotion, or promotion and tenure reviews must have their tenure home or primary appointment in the department.

The department chair, the executive dean and assistant and associate deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, promotion and tenure, or contract renewal.

1. Tenure-track faculty

Initial Appointment Reviews

- For an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty in the department.
- For appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested.

Reappointment, Promotion, or Promotion and Tenure Reviews

- For the reappointment and promotion and tenure reviews of assistant professors, the eligible faculty consists of all tenured associate professors and professors.
- For the promotion reviews of associate professors and the tenure reviews of probationary professors, the eligible faculty consists of all tenured professors.

2. Conflict of interest

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

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 executive dean or designee, will appoint a faculty member from another department within the college.

B. READING COMMITTEE

The department has a Reading Committee for each promotion and tenure case that normally consists of three faculty members. The Reading Committee assists the Committee of the Eligible Faculty in managing individual P&T cases. If feasible, two are in a field related to the candidate's research area, while the chair of the Committee is from another area. The committee's chair and members are appointed by the department chair.

C. QUORUM

The quorum required to discuss and vote on all personnel decisions is a majority 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 are not counted when determining quorum.

D. RECOMMENDATION FROM THE COMMITTEE OF THE ELIGIBLE FACULTY

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

Absentee ballots and proxy votes are not permitted.

1. Appointment

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

2. Reappointment, promotion and tenure, promotion, and contract renewal

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when 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 research, teaching, and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the department. The search is either cancelled or continued, as appropriate to the circumstances.

1. Tenure-track Faculty

Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor but requirements for the doctoral 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 beginning 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 once granted. In addition all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. An earned doctorate is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high quality service to the department and the profession is highly desirable. At the time of appointment to the rank of assistant professor, the individual must have a strong potential to attain tenure and advance through the ranks in a timely fashion. 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 Committee of the Eligible Faculty determines such a review to be appropriate. The granting of prior service credit in response to a request by the faculty member requires approval by the department, college, and the Office of Academic Affairs. Prior service credit may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

Associate Professor (with tenure). Appointment offers at the rank of Associate Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs. It is expected that an individual appointed to the department as an associate professor with tenure is a nationally recognized researcher with a high-quality body of scholarship, has demonstrated excellence in teaching undergraduate and graduate students, and demonstrated excellence in service to the profession and field as well as locally to the college and the university. It is expected at the time of appointment to the rank of associate professor that the individual has strong potential to advance to the rank of professor in a timely fashion. Appointment at senior rank normally entails tenure. On rare occasions, however, individuals may be appointed as associate professor without tenure when joining the faculty. 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. Offers to foreign nationals require prior consultation with the Office of International Affairs.

Professor (with tenure). Appointment offers at the rank of Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs. It is expected that an individual appointed to the department as professor with tenure has established a national or international reputation as a leading scholar in his or her field with an outstanding body of scholarship, has demonstrated excellence in teaching at graduate and undergraduate levels and has demonstrated a record of high quality service to his or her field and institution.

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 teaching quality.

3. Associated Faculty

Associated appointments are normally made for no more than one year at a time, but appointments of up to three years' duration are possible if circumstances warrant.

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

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.

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.

Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated or uncompensated. The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

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

4. Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule [3335-5-36](#). Full-time tenure track, clinical/teaching/practice, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the department chair (regional campus dean for associated faculty on regional campuses) outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and nonprobationary clinical/teaching/practice associate professors and professors) will review the application and make a recommendation to the department chair. The department chair will decide upon the request, and if appropriate submit it to the executive dean or their designee dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-05-04](#), emeritus status will not be considered.

See the OAA [Policies and Procedures Handbook](#) Volume 1, Chapter 1, for information about the types of perquisites that may be offered to emeritus faculty, provided resources are available.

Emeritus faculty may not vote at any level of governance and may not participate in promotion and tenure matters.

5. Courtesy Appointments for Faculty

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

B. PROCEDURES

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

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

1. Tenure-track Faculty

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Searches for tenure-track faculty proceed as follows:

The executive dean of the college or designee 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 Faculty Recruitment Committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department.

Prior to any search, members of all search committees must undergo inclusive hiring practices training available through the college with resources from the [Office of Diversity and Inclusion](#). Implicit bias training, also strongly encouraged, is available through the [Kirwan Institute for the Study of Race and Ethnicity](#).

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 (www.hr.osu.edu/) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, because an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. Advertisement will be placed in the on-line *Job Openings for Economists*. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally prominent journal.
- Screens applications and letters of recommendation and presents to the department chair a summary of those applicants judged worthy of interview at the Allied Social Science Association (ASSA) meetings. At the ASSA meetings, each interview is attended by one or more members of the search committee and one or more faculty members in the candidate's field, who may or may not be on the search committee. The department chair, an ad hoc member of the search committee, attends many of the interviews.
- Following the interviews at the ASSA meetings, the Committee recommends to the faculty a set of on-campus interviewees. The visits are arranged by the Committee chair, assisted by staff in the department office. On-campus interviews with candidates must include opportunities for interaction with the faculty, including the department chair and the executive dean or designee. In addition, all candidates make a presentation to the faculty on their research. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the committee develops recommendations for the faculty.

Eligible faculty members meet to discuss and vote on the candidates. Absentee ballots are not permitted. The eligible faculty reports a recommendation on each candidate to the department chair.

If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the department chair. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

In the event that more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. Thus, receiving a two-thirds positive vote is a

necessary, but not sufficient result for a candidate to receive an offer. The details of the offer, including compensation, are determined by the department chair.

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

2. Tenure-track Faculty—Regional Campus

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

Candidates are interviewed by, at a minimum, the regional campus dean, the department chair, representatives of the department recruitment committee, and the 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

The appointment, review, and reappointment of all compensated associated faculty are decided by the department chair. Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. The proposal is considered at a faculty meeting and if approved by the faculty, the department chair extends an offer.

Associated appointments are generally made for a period of one year, unless a longer or shorter period is appropriate to the circumstances. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Adjunct appointments may be renewed only when the uncompensated academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a year by year basis.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for faculty (see Promotion and Tenure and Promotion Reviews below), 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. A proposal that describes the uncompensated academic service to this department justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the faculty, the department chair extends an offer of appointment. The department chair reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

V. ANNUAL PERFORMANCE AND MERIT REVIEW PROCEDURES

The department follows the requirements for annual reviews as set forth in Faculty Annual Review Policy, <http://oaa.osu.edu/assets/files/documents/annualreview.pdf>, which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. According to the policy, the purposes of the review are to:

- Assist faculty in improving professional productivity through candid and constructive feedback and through the establishment of professional development plans;
- Establish the goals against which a faculty member's performance will be assessed in the foreseeable future; and
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

The annual performance and merit reviews of every faculty member are based on expected performance in teaching, research, and service as set forth in the department's guidelines on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions

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

A. DOCUMENTATION

For their annual performance and merit review, faculty members must submit the following documents to the department chair by the date announced by the chair:

- Office of Academic Affairs dossier outline, [*Policies and Procedures Handbook*](#), Volume 3 (*required for probationary faculty and recommended for associate professors*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. That documentation is described in Section VI of this document.

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

B. PROBATIONARY TENURE-TRACK FACULTY

Every probationary tenure-track faculty member is reviewed annually by the chair. The initial step is that the Committee of Eligible Faculty meets to discuss probationary tenure-track faculty, and advise the chair regarding their performance. The chair meets with the faculty member to discuss his or her performance

and future plans and goals. Next the chair prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

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

If the department chair recommends nonrenewal as a result of an annual review, the Fourth-Year Review process (per Faculty Rule 3335-6-04, <https://trustees.osu.edu/bylaws-and-rules/3335-6>) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the executive dean or designee makes the final decision on renewal or nonrenewal of the probationary appointment.

1. Tenure-track Regional Campus Faculty

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

2. Fourth-Year Review

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 not solicited and the executive dean or designee makes the final decision regarding renewal or nonrenewal of the probationary appointment.

The Committee of Eligible Faculty conducts a review of the candidate, judging whether or not there is a reasonable chance that the candidate, at the time of the mandatory tenure review, will meet the criteria for promotion and tenure. Publications, revise-and-resubmits, and promising working papers should all be considered. On completion of the review, the Committee of Eligible Faculty votes by written ballot on whether to renew the probationary appointment. A two-thirds majority of yes and no votes must be yes for a vote to be considered positive. Abstentions are not votes. Absentee voting is not permitted.

The Committee of 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, <https://trustees.osu.edu/bylaws-and-rules/3335-6>) 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 the Probationary Period

Faculty Rule 3335-6-03 (D), <https://trustees.osu.edu/bylaws-and-rules/3335-6>, 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/policies-and-procedures-handbook>.

C. TENURED FACULTY

Associate professors are reviewed annually by the professors. The discussion includes a performance review and comments on the faculty member's progress toward promotion. The department chair conducts an independent assessment, prepares a written evaluation on these topics, and meets with the faculty member to discuss his or her performance and future plans and goals. The faculty member may provide written comments on the review.

Professors are reviewed annually by the department chair. The department chair meets with the faculty member to discuss his or her performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the department, the college, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The department chair prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

D. 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.

E. ASSOCIATED FACULTY

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the department chair, or designee, who 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 department chair will decide whether or not to reappoint. The department chair's recommendation on reappointment is final.

F. SALARY RECOMMENDATIONS

The department chair makes annual salary recommendations to the executive dean or designee, who may modify them. The recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months.

In formulating recommendations, the department chair consults with the department Advisory Committee. As a general approach to formulating salary recommendations, the TIU head divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues. Salary increases should be based upon these considerations.

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, because increases are solely a means to the end of an optimal distribution of salaries.

Faculty who fail to submit the required documentation (see Section V-A above) for an annual performance and merit review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

VI. PROMOTION AND TENURE AND PROMOTION REVIEWS

A. CRITERIA AND DOCUMENTATION

Faculty Rule 3335-6-02, <https://trustees.osu.edu/bylaws-and-rules/3335-6>, 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, <https://trustees.osu.edu/bylaws-and-rules/3335-6>, 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 scholar, as a teacher, and as one who provides effective service; and can be expected to continue a program of high quality scholarship, teaching, and service relevant to the mission of the Department of Economics.

In promotion and tenure decisions, the department attempts to assess the merits of a candidate using as a benchmark the candidate's counterparts at comparable institutions. The department must always ask itself if the promotion of a faculty member contributes to the department's having the most distinguished faculty

possible, given realistic alternatives. Only if this criterion is satisfied can the department and the university be satisfied that university resources and opportunities have been fully utilized.

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

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

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

Excellence in teaching, research, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics, <http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>, and the American Economic Association code of conduct, <https://www.aeaweb.org/about-aea/code-of-conduct>.

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

Teaching

For promotion to associate professor with tenure, a faculty member is expected to have:

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

Any candidate whose annual reviews have suggested teaching deficiencies should provide documentation of efforts to improve teaching.

Scholarship

For promotion to associate professor with tenure, a faculty member is expected to have:

- Published a body of high quality work in high-quality peer-reviewed journals. This work should contribute substantively to knowledge in the area of focus, and should show evidence of being favorably cited or otherwise show influence on the work of others. While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
- Additional criteria used in evaluating research are the candidate's record in applying for and receiving external grants, publications in the discipline's flagship journals, and establishing a pipeline of working papers ranging from revise and resubmitted papers to working papers in preparation for submission. Engagement with business entrepreneurship, including (but not limited to) invention disclosures, patents, corporate licensing, startup companies, and other business activities, is also valued.
- A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.
- Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.
- Evaluation of scholarship must consider the fact that the average lag time between initial submission to a peer reviewed journal and publication is over two years, the most highly regarded journals have single digit acceptance rates, and top field journals often have acceptance rates well below 15%. Therefore, accepted papers are considered to be the equivalent to published articles, and papers in revise-and-resubmit status are given weight in evaluating research.

Service

For promotion to associate professor with tenure, a faculty member is expected to have:

- Contributed to the governance of the department and demonstrated the promise of future contributions. Examples include service on department, college, or university committees, participation in faculty meetings and in department seminars and workshops.
- Made useful contributions to the profession and demonstrated the potential for significant contributions. Examples of contributions include refereeing articles, serving on editorial boards of

journals, organizing sessions at meetings, and service on national organizations' panels or as an officer.

2. Promotion to Professor

Faculty Rule 3335-6-02, <https://trustees.osu.edu/bylaws-and-rules/3335-6>, <http://trustees.osu.edu> establishes the following general criteria for promotion to the rank of professor:

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

The specific criteria in teaching, research, 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 increasing quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field.

The Department also expects senior faculty to be responsible for the majority of doctoral-level advising and service on university committees. Senior faculty are expected to take responsibility for the development and growth of their fields of expertise within the department.

In addition, as further specified by Faculty Rule 3335-6-02, <https://trustees.osu.edu/bylaws-and-rules/3335-6>, 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. Promotion should reflect the reality that (a) not all faculty members have the same distribution of assignments (b) not all faculty members will be able to contribute excellence equally in all evaluation dimensions; and (c) there is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively. Promotion to professor should be awarded not only to those faculty who have demonstrated impact in their scholarship of research and creative inquiry, teaching and learning, and service, but also to those who have exhibited excellence in the scholarship of leadership to make visible and demonstrable impact upon the mission of the TIU, college, and university.

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

3. Regional Campus Faculty

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the department will give greater emphasis to the quality of teaching and service relative to research. Recognizing that the character and quantity of research 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, <https://trustees.osu.edu/bylaws-and-rules/3335-6>, and the

Office 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/policies-and-procedures-handbook>. The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the department.

1. Candidate Responsibilities

Candidates are responsible for submitting a complete, accurate dossier fully consistent with 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 may seek advice on constructing the dossier from the department chair or designee and the Committee of Eligible Faculty officers.

Candidates are responsible for submitting a copy of the department's APT Document under which the candidate wishes to be reviewed. Candidates may submit the department's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. This must be submitted when the dossier is submitted to the department.

Candidates are responsible for reviewing the list of potential external evaluators developed by the Reading Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see External Evaluations below.) The candidate works with the Reading Committee on selecting publications and working papers to send to the external reviewers. The candidate is responsible for supplying to the department a complete set of all publications and working papers.

2. Reading Committee Responsibilities

The responsibilities of the Committee are as follows:

- Suggest names of external evaluators to the Committee of Eligible Faculty. It also solicits additional names from the candidate and presents its list to the candidate for review. The revised list is presented to the department chair.
- Meet with each candidate, either in person or electronically, for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier.
- Draft an analysis of the candidate's research performance. This analysis is based on the candidate's CV, dossier, body of scholarly work, citation counts, and external letters. This analysis is presented to the Committee of Eligible Faculty. The Reading Committee neither votes on cases nor takes a position in presenting its analysis of the record.

3. Committee of Eligible Faculty Responsibilities

The responsibilities of the members of the Committee 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 (either in person or via teleconference) all Committee meetings except when circumstances beyond one's control prevent attendance, to participate in discussion of every case, and to vote.
- Hold a meeting to discuss the promotion and tenure candidates and review the draft analysis of the Reading Committee.
- Immediately following the meeting a ballot will be distributed to the Committee of Eligible Faculty members who attended the meeting. It will be due to the department chairperson two working days after the meeting.
- The Recorder (see Economics Pattern of Administration Section VII.C.1) drafts a final report that incorporates the discussion of the Committee of Eligible Faculty and includes the results of the faculty vote. This report must be balanced and inform the chairperson of the strengths and weaknesses of the case. The report must explain the sources of any disagreements among the faculty. The Recorder circulates this report to the Committee of Eligible Faculty, receives their comments, and prepares a final report. The Committee of Eligible Faculty votes on the final report, using majority rule.
- The final report must be signed by the Committee of Eligible Faculty chair and the Recorder on behalf of the entire Committee and delivered to the departmental chair by the announced deadline.
- Should the candidate comment on the Committee report, the Committee will meet to discuss the comment. The Recorder will develop a written response, on behalf of the Committee, to any candidate comments that warrant response, for inclusion in the dossier.
- The Committee of Eligible Faculty will provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure initiating unit is another department. The full Committee does not vote on these cases.
- 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. 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 faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<https://trustees.osu.edu/bylaws-and-rules/3335-6>) 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 nonmandatory tenure review. The committee must confirm with the department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- A decision by the committee to permit a review to take place in no way commits the Committee of Eligible Faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.

4. Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- Where relevant, verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.

Summer:

- 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.
- To solicit external evaluations from a list including names suggested by the Reading Committee from the Committee of Eligible Faculty and the candidate.
- To make adequate copies of each candidate's dossier available for review by the Committee of Eligible Faculty at least one week before the meeting at which specific cases are to be discussed.
- To remove any member of the Committee of Eligible Faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. The department chair will offer to leave the meeting to allow open discussion among the eligible faculty members.

Mid-Autumn Semester:

- To provide an independent written evaluation and recommendation for each candidate, following receipt of the Committee of Eligible Faculty's completed evaluation and recommendation.

- To meet with the Committee of Eligible Faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
 - of the recommendations by the Committee of Eligible Faculty and department chair.
 - of the availability for review of the written evaluations by the Committee of Eligible Faculty and department chair.
 - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant 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's recommendation is against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Committee of Eligible Faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure initiating unit by the date requested.

5. Procedures for Regional Campus Faculty

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

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

6. External Evaluations

External evaluations of research and scholarly activity are obtained for all promotion reviews. These include all tenure-track promotion and tenure or promotion reviews, and all adjunct faculty promotion reviews.

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

- Is written by a person highly qualified to judge the candidate's research (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 general, the department will only solicit evaluations from professors at institutions comparable to Ohio State.

In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and or the usefulness of the letters received, at least twice as many letters are sought as are required, and they are solicited no later than June 30 of 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.

- 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, <https://trustees.osu.edu/bylaws-and-rules/3335-6>, 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 Office of Academic Affairs suggested format, provided at <https://oaa.osu.edu/policies-and-procedures-handbook>, 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.

7. Dossier

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. The candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

The complete dossier, including the documentation of teaching noted below, is forwarded when the review moves beyond the department. The documentation of research 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 start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present.

- Cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class taught
- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program
- Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the editor 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. Research

The time period for scholarship documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion to present. All scholarship outcomes will be reviewed for increasing independence over time. There should also be an increasing trajectory of significant scholarly outcomes over time:

- 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 editor stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- Copies of all scholarly papers for which a revise and resubmit has been received. There should be an accompanying letter from the editor stating the nature of the requested revision.
- Documentation of grants, patents, and contracts received.
- Other relevant documentation of research as appropriate.

3. Service

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion to present:

- Service activities as listed in the core dossier including
 - involvement with professional journals and professional societies
 - other service to the discipline
 - service activity with industry, education, or government
 - 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 of the quality of service that enhances the list of service activities in the dossier.

VII. APPEALS

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

VIII. SEVENTH-YEAR REVIEWS

Faculty Rule 3335-6-05, <https://trustees.osu.edu/bylaws-and-rules/3335-6>, 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.

IX. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

A. Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (eSEI) form is required in every course offered in this department.

B. Peer Evaluation of Teaching

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

Annually the department chair appoints a Peer Review of Teaching Committee of a size judged sufficient to meet the volume of peer review activity expected that year, without overburdening any of the members. The term of service is one year, with reappointment possible. Reasonable efforts are made to distribute service among the tenured faculty from year-to-year in order to support and encourage the entire faculty's attention to the quality of teaching in the department. Although there is no requirement 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 of Teaching Committee are as follows:

- to review the teaching of probationary tenure-track faculty at least four times during the first three years of service, and at least once during the remainder of the probationary period, with the goal of adequately assessing teaching at all levels of instruction (e.g., graduate and undergraduate) to which the faculty member is assigned. A total of five peer evaluations must be submitted for the mandatory promotion and tenure review.
- to review the teaching of tenured associate professors at least once every two years, with the goal of assessing teaching at all levels of instruction to which the faculty member is assigned. A minimum of three peer evaluations must be submitted as part of the documentation for a promotion review.
- to review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review, including full professors. 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.

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.

Scheduled teaching evaluations by the peers (the first three situations listed above) are comprehensive and include, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. Evaluations of a faculty member's teaching over time should be conducted by more than one peer. At the beginning of the semester, the committee will request from the faculty member a list of dates on which visitation would be inappropriate because a quiz or exam is being given, a guest speaker is scheduled, etc.

Peer review focuses particularly on aspects of teaching that most students are not qualified to evaluate, such as: appropriateness of curricular choices given the goals of the course (survey as opposed to required major course), implicit and explicit goals of instruction, quality and effectiveness of testing tools, and appropriateness of approach relative to current disciplinary knowledge. As part of its evaluation the committee examines copies of the faculty member's student end-of-course review summaries from recent years.

At the conclusion of the review, the committee submits a written report to the department chair, copied to the faculty member. The faculty member may provide written comments on this report and the committee may respond in writing to those comments if it wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier, unless the faculty member requests that the comments be excluded.

Regularly scheduled reviews are both summative and formative (they provide both an assessment of the faculty member's teaching for use in annual and promotion reviews and advice to improve the faculty member's teaching). In addition, the Chairperson may recommend that the faculty member contact the Drake Institute for Teaching and Learning (<https://drakeinstitute.osu.edu/>) to review classroom

performance and offer both written and verbal feedback. Feedback from the Drake Institute will not become part of the core dossier, nor will it be used in performance evaluations.

The primary purpose of peer reviews is to assist faculty members in their effort to improve classroom teaching. A peer review should provide diagnostic evaluations of the strengths and weaknesses of classroom teaching and recommend ways of correcting the identified weaknesses. In addition, a peer review may help establish an independent measure of the quality of teaching. When specific problems arise in teaching, the Chairperson may arrange for a peer review of teaching. In addition, the Chairperson may recommend that the faculty member request a review by the Drake Institute for Teaching and Learning. Where peer reviews have been undertaken, written reports must be filed with the Chairperson.