

***APPOINTMENTS, PROMOTION AND TENURE CRITERIA AND PROCEDURES  
DEPARTMENT OF POLITICAL SCIENCE  
THE OHIO STATE UNIVERSITY***

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## Preamble

This document is a supplement to Chapter 6 of the Rules of the University Faculty, the Office of Academic Affairs’ annual procedural guidelines for promotion and tenure reviews that appear on the OAA website, and any additional policies of the College and the University. These rules and policies take precedence over departmental practices and should they 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 section must be reviewed, and either reaffirmed or revised, at least every four years on appointment or reappointment of the Department Chair.

Departmental decisions regarding faculty appointment, reappointment, and promotion and tenure are made in accordance with the Department’s mission as set out in section II of this Pattern of Administration. In addition, the faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (<http://trustees.osu.edu>). In particular, the foundation for these decisions is peer review of the documented performance of faculty. Unless otherwise stated, the criteria and procedures described below apply equally to Columbus and regional campus faculty.

The Ohio State University is committed to building a diverse faculty and staff for employment and promotion to ensure the highest quality workforce, to reflect human diversity, and to improve opportunities for minorities and women. The University embraces human diversity and is committed to equal employment opportunity, affirmative action, and eliminating discrimination. This commitment is both a moral imperative consistent with an intellectual community that celebrates individual differences and diversity, as well as a matter of law.

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>).

## I. Department Mission

The mission of the Department of Political Science is to achieve excellence in scholarly research, teaching, and service commensurate with its standing as one of the nation's leading political science departments and with its goal of maintaining and continually improving its quality. Research is the cornerstone of its mission, inspiring its teaching and service. Excellence in research means attainment of national and international recognition, as evidenced by comparative rankings, external funding, awards, and honors in research in political science and related areas. Excellence in teaching means providing its undergraduate and graduate students the opportunity to realize their full capabilities for learning in political science, including offering the most capable and motivated students an enhanced learning experience. Excellence in service means making available a high level of professional expertise and experience to the public, including the University, Columbus community, state of Ohio, the nation, and internationally, as well as the profession.

## II Definitions

### A. Committee of the Eligible Faculty

#### 1. Tenure-track Faculty

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

The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of equal rank to or higher rank than the candidate whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

#### 2. 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.

#### 3. Minimum Composition

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

### B. Quorum

The quorum required to discuss and vote on all personnel decisions is a simple 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 a quorum only if the department chair has approved an off-campus assignment.

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

### C. 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

Decisions are taken by secret ballot after a faculty meeting to discuss the appointment. A simple majority of votes cast is required for a positive recommendation.

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

Decisions are taken by secret ballot in the meeting of the committee of the eligible faculty members. A simple majority of votes cast is required for a positive recommendation.

### III. Guidelines for Appointments

#### A. Criteria

##### 1. Tenure Track Faculty

The Department is committed to making only faculty appointments that enhance, or have strong potential to enhance, departmental quality. The key criteria for each appointment are as follows: (i) At the senior levels, high research productivity and professional reputation must be clearly evidenced in publications, research grants, and other indicators of professional stature for an appointment to be made. Senior faculty hired from outside the University should be at least as qualified as their counterparts in the Department. (ii) At the assistant professor level, evidence of research potential of a caliber likely to lead to grants and, especially, to high-quality scholarly publications is required. New untenured faculty are hired with the expectation that they will have a Ph.D. in political science or a related discipline by the beginning of their appointment -- or will have successfully defended their Ph.D. dissertation before the date on which classes begin in their first year and will receive the Ph.D. degree at their university's first commencement thereafter. Failure to satisfy this expectation necessitates appointment as an instructor and a reduction in their salary by 10%. (iii) In all cases, evidence of substantial peer support from outside reviewers, of a record of or the potential for high quality teaching, and of commitment to the mission of the Department are important considerations. (iv) The Department does not hire its own Ph.D.'s for probationary tenure track faculty positions on the Columbus campus.

Appointments to the rank of instructor and assistant professor are probationary and require annual reappointment by the Department Chair for continuation. Instructor appointments may not exceed three years

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 appointments may not exceed six years, including prior service credit but not counting time that is excludable under University rules. Approval by the executive Dean of the College of Arts and Sciences is required

for the reappointment of an assistant professor as a tenure-track faculty member for the fifth year. An assistant professor is reviewed for promotion and tenure no later than the sixth year (not counting exclusions) of appointment as an assistant professor and is informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year.

Part-time appointments are possible (no less than 50%) in accord with University rules. Probationary tenure-track faculty on less than full-time service may request an extension of the probationary period, in accord with Faculty Rule 3335-6-03(F).

**Associate Professor and Professor.** Appointment at senior rank requires that the individual, at a minimum, meet the department's criteria in teaching, scholarship, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.

## 2. Tenure Track Faculty – Regional Campus

Because the primary mission of the regional campuses is to provide high quality undergraduate instruction and to serve the academic needs of their communities, excellence in teaching and service ordinarily will be given relatively more weight in hiring regional campus faculty. Nevertheless, regional campus faculty members are expected to publish high quality scholarship in respected outlets even if not with the same frequency as the faculty on the Columbus campus. The expectation is that regional campus faculty members will publish in journals and presses similar in quality and impact to those the Columbus faculty members publish in even if these are not always the exact same outlets as the Columbus faculty members typically publish in.

## 3. Associated Faculty

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

### 3a. Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor

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

### 3b. Lecturer

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

### 3c. Senior Lecturer

Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to

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

### 3d. Assistant Professor, Associate Professor, Professor with FTE below 50%

Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

### 3e. Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor

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

## 4. Courtesy Appointments for Faculty

Courtesy appointments may be offered to tenure-track faculty in another department at Ohio State who are expected to contribute regularly and significantly, on an uncompensated basis, to the Department's research, teaching, or service mission. Involvement in the departmental program and/or visibility in the Political Science discipline are normally required.

## B. Procedures for Appointments

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>) 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

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

Decisions on extending offers to join the faculty are collegial. The Chair is primarily responsible for designating the positions and keeping the recruiting process moving when openings occur. A Department meeting will be held each spring semester to discuss hiring priorities for the following year within the context of the Department's budget situation. The Department Chair appoints a search committee or committees to recruit candidates for all faculty vacancies. Search committees report to the Chair. The Chair, in consultation with the search committee(s), prepares each position description and submits it to the American Political Science Association's *eJobs listing of jobs in Political Science*, which ensures that the position will be advertised widely throughout the discipline. If there is any likelihood that the applicant pool will include qualified foreign nationals, the chair must advertise the position using at least one 30-day online ad in a national professional journal. From the pool of applicants, the search committee develops a short list of

candidates. The committee also consults with faculty members in the subfield most closely affiliated with the search. All faculty members have access to the application files and can encourage the committee to look at files they find especially attractive. The committee then recommends candidates for visits to the Chair, who schedules and coordinates their visits. After candidates have visited, the Chair solicits *anonymous* evaluations of the candidates from all faculty members in the Department and also from students who have interacted with the candidates. A faculty meeting will be held in advance of the solicitation of individual faculty evaluations to discuss the candidates. All tenure track faculty can provide input on the candidates in the form of a vote and the results of this poll of opinion will be available to the search committee members. It will also be available to faculty members not on the search committee if they ask to see it. Once the results of the poll are in-hand, the Chair will meet with the search committee and decide whether to make an offer and to whom. If an offer is justified in the judgment of the Chair, he/she will propose the terms of the offer to the Dean of the College and, if the Dean approves an offer, will handle the negotiations with the candidate. If it is not clear whether an offer is justified, further consultation and discussion and perhaps visits by additional candidates will occur. If necessary, the Chair will call a Department meeting to discuss the final recruiting decision.

On every search committee, the Chair 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.

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

## 2. Tenure Track Faculty—Regional Campuses

Because the Columbus Department must concur in the appointment of regional campus faculty, it is involved in the search process for positions there. The Chair appoints at least one member to the regional campus search committee for a position in Political Science on that campus. Candidates for the regional campus position are required to present a colloquium on the Columbus campus and to meet with faculty from the Department there. After candidates have visited, the Chair will solicit evaluations from all faculty members in the Department on the candidate's record and potential as a scholar, for which the Columbus Department has the primary responsibility. If an offer is justified in the judgment of the Chair, he/she will make appropriate recommendations to the regional campus dean. If it is not clear whether an offer is justified, further consultation and discussion and perhaps visits by additional candidates will occur. If necessary, the Chair will call a Department meeting to discuss this recruiting decision. A decision to hire requires agreement on the part of the Chair of the Columbus Department and the Dean/Director of the relevant regional campus.

## 3. Associated Faculty

Any tenure-track departmental faculty member may make recommendations of associated faculty appointments to the Chair. Associated faculty are appointed by the Chair, with the approval of the Office of Academic Affairs, for only one up to three years at a time and require formal renewal for continuation. The Chair may make appointments of lecturers and senior lecturers semester-by-semester to fill short-term departmental teaching needs. Continuous appointments for more than a single semester require the consent of the Department's Executive Committee. Initial appointments of adjunct professors and visiting faculty may be made by the Chair only with the consent of a majority of the faculty. Reappointment may be made by the Chair, except that appointments for visiting faculty may not exceed three continuous years by University rules.

## 4. Courtesy Appointments for Faculty

Any tenure-track departmental faculty member may nominate tenure-earning or tenured faculty from another OSU department for a courtesy faculty appointment in Political Science. After reviewing the candidate's qualifications, and with the consent of a majority of the faculty and the approval of the divisional dean, the Chair may make a courtesy faculty appointment for a five-year period. Such appointments may be renewed by the Chair with the approval of the Department's Executive Committee. Courtesy faculty may be listed as Political Science faculty, but they do not hold separate Graduate Faculty status or voting rights in the Department.

#### IV. Annual Review Procedures

All faculty members are reviewed annually by the Chair. For assistant and associate professors, the Chair formally solicits inputs to the evaluation process from faculty of higher rank. For full professors, the Chair alone conducts the review. Annual reviews are mandatory under the rules of the University, and all faculty members are expected to provide the material required for a review on a timely basis. For assistant professors, this material must be provided in the University's prescribed dossier format; for associate and full professors, using the dossier format is advisable. Each assistant professor should meet to discuss preparation of the dossier with two senior faculty members, designated for this purpose by the Chair or Field Coordinator in consultation with the candidate. An assistant professor that wishes not to undergo an annual review must provide a written letter of resignation to the Chair by January 31 in order to prevent or terminate the review.

To provide the basis for the annual review, by January 20 of each year each faculty member in the Department, including regional campus faculty for whom the Department is the tenure initiating unit, must provide the Chair with (1) an annual report focusing on research and publication, teaching, and service for the previous calendar year and (2) an updated dossier (or curriculum vitae) that reports the faculty member's research, teaching, and service accomplishments following the format prescribed by the University for the core section of the faculty dossier (see section 4 of the most updated Volume 3 of the OAA Handbook, <http://oaa.osu.edu/assets/files/policies-procedures-handbook/3HBPT.pdf>). Assistant professors are required to follow the dossier format precisely; it is recommended that tenured faculty use it as well. Departmental faculty must have all of their regular courses evaluated using the e-SEI instrument and SEI reports for all courses taught in the preceding calendar year should be contained in the annual report. In addition to University requirements for the dossier, the nature of the refereeing process for books and book chapters, the faculty member's contributions (in both substantive and percentage terms) to multiply-authored works, and the number of citations by others to her/his work should be clearly indicated. It also is the responsibility of each faculty member, especially assistant and associate professors, to make sure that copies of all scholarly manuscripts written or published in the preceding calendar year and syllabi and other relevant material for each course taught during the same period are available in their "reading file" in the Department office. Faculty members can provide any additional information at this time that they deem pertinent to the annual review of their performance. They may also be requested to provide additional information at other times and in other formats, as departmental needs require.

##### 1. Probationary Tenure Track Faculty

###### 1a. Columbus campus faculty

Every instructor and assistant professor is reviewed each year following procedures consistent with Faculty Rule 3335-6-03 (C) and Office of Academic Affairs' policies. These reviews are primarily for the purposes of giving feedback to untenured colleagues on their progress toward promotion and tenure, and of providing an evaluation of their performance and development for the purposes of reappointment, salary raises, and promotion. The annual review begins with an evaluation of all probationary faculty by the tenured faculty at a meeting (or meetings) moderated by the Chair. This review focuses on research, teaching, and service. For this meeting, the tenured faculty members are provided with copies of each instructor's and assistant professor's annual report and updated dossier. They also consult the candidate's reading file for research manuscripts and additional teaching material. Letters from absent tenured faculty may be read at the meeting. The results of this review and the Chair's own evaluation are summarized in a private meeting between each untenured faculty member and the Chair. After this meeting, the Chair provides each untenured faculty member with a written assessment of her/his performance and professional development, a copy of which goes to the Dean. This letter becomes a part of the dossier for subsequent annual reviews during the probationary period, including reviews for promotion and tenure. Under University policy, the untenured faculty member may make a written response to this letter, which also becomes a part of the dossier.

Probationary faculty are subject to non-renewal in any year prior to their formal promotion and tenure review when it is apparent that the candidate's likelihood of meeting expectations for promotion and tenure is poor. In cases of non-renewal, fourth year review procedures must be followed. In the event that the Department faculty, by majority vote, and Chair recommend nonrenewal of the probationary appointment during any annual review, the faculty member



under review may provide a written comment (following the comments process described above), which also becomes a part of the dossier. The full dossier for any recommendation of non-renewal must be forwarded to the College for review by the College Promotion and Tenure Committee and the Dean. The Dean's decision is final. In the case of nonrenewal of the probationary appointment, a terminal year of appointment in the Department, with an enhanced instructional workload, will be provided.

#### 1b. Regional Campus Faculty

The Columbus Department has primary responsibility for the evaluation of the research performance of its regional campus faculty. For purposes of annual review, this evaluation will be conducted following the same procedures as for Columbus campus faculty, except that special allowances will be made (in accordance with University rules) for inputs from the regional campus and for the greater emphasis on teaching and service on the regional campuses.

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.

#### 1c. Fourth-year Reviews

Reviews of probationary faculty in their fourth year under University counting rules follow the same procedures outlined below for promotion and tenure reviews, except that external letters are not solicited. Candidates for review must assemble a complete dossier core. The Department's tenured faculty must issue a formal report to the Chair, written by a faculty Reporter designated by the Chair, summarizing its evaluation and vote and recommending whether the candidate should be reappointed for the following year. This report and the Chair's annual report letter, and the recommendations of renewal or non-renewal therein, are then reviewed at the College level. A probationary faculty member cannot be reappointed for the fifth year without the Dean's approval.

### 2. Procedures for Tenured Faculty

Every associate and full professor is reviewed each year following procedures consistent with Office of Academic Affairs' policies. These reviews are primarily for the purposes of giving feedback to faculty on their performance and evaluating it for the purposes of merit salary increases and (for associate professors) promotion.

#### 2a. Associate Professors

For associate professors, the annual review begins with an evaluation by the full professors at a meeting (or meetings) moderated by the Chair. For this meeting, the full professors are provided with copies of every associate professor's annual report and updated dossier or curriculum vitae. They also consult the individual's reading file for research manuscripts and additional teaching material. Letters from absent full professors may be read at the meeting. The results of this review and the Chair's own evaluation are summarized in a private meeting between each associate professor and the Chair. After this meeting, the Chair will provide associate professors with a written assessment of their performance and professional development, a copy of which goes to the Dean. This letter becomes a part of the dossier for subsequent annual reviews, including the promotion review. Under University policy, the faculty member being reviewed may submit a written comment to this letter (following the comments process described below), which also becomes a part of the dossier.

#### 2b. Full Professors

The annual review for full professors is conducted by the Chair based on the annual report and the updated dossier (or curriculum vitae) submitted in January and, as needed, materials on scholarship and teaching in the faculty member's departmental reading file. The result of this review is communicated by the Chair to each faculty member in a private meeting between the Chair and the full professor and in a written letter that is subsequently delivered to the faculty

member. Under University policy, faculty may provide a written response to this letter for their file.

### 3. Procedures: Associated Faculty

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

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

## V. Merit Salary Increases Procedures

### 1. Criteria

Meritorious performance is required for salary increases. Consistent with the Department's mission, the Chair considers performance in research and publication, teaching, and service as well as (for assistant and associate professors) progress toward promotion in making salary recommendations to the Dean. For research, performance during the previous three years is included in each annual review. Journal articles are counted starting with the year they are accepted. Solo-authored books, edited books, and book chapters are counted beginning when the book has entered the publication process as indicated by the publisher beginning to advertise it for sale on Amazon and/or other public sites. External research grants are counted from the calendar year they begin until they end. Refereed works of original scholarship typically receive the most credit, and signs of an active ongoing research program through paper presentations and submissions also are important. For teaching and service, and any other relevant activities, the performance evaluation is based on the previous calendar year. Unusually heavy departmental service responsibilities normally are acknowledged by extra compensation through administrative stipends and/or adjusted workloads; especially meritorious performance in these roles may be rewarded through raises. Salary structure equity and market considerations, for meritorious faculty, may also be taken into account in salary raise recommendations.

### 2. Procedures

For Columbus faculty, the Chair makes annual salary raise recommendations to the Dean within dollar and percentage guidelines established each year by central administration and the Dean. The Chair's recommendations are based on her/his own evaluations of faculty, incorporating the evaluations of assistant and associate professors by faculty of higher rank and the advice from the Annual Review Committee. Once raises are approved, the salary increase and a summary evaluation of the performance on which it was based are reported to each faculty member in a letter from the Chair. (This letter comes in addition to the annual review letter.) These letters will be sent by the end of the Summer semester unless there are delays in approval of the University salary budget. Faculty members who wish to discuss their salary or salary raise should meet with the Chair. For regional campus faculty, annual salary raise recommendations are made by the regional campus dean. The Chair of the Columbus Campus Department, though, is responsible for evaluating the research performance of regional campus faculty. Before annual salary recommendations are made, the Chair will communicate evaluations of research to the appropriate dean.

### 3. Documentation

It is the responsibility of all faculty to fully document their performance of teaching, service, and research responsibilities through their annual report to the Chair each year, their annually updated cv or dossier, and their placement of materials on research, teaching, and service in their departmental reading file. To qualify for a merit raise, faculty must provide sufficient documentation to permit an informed evaluation of their performance.

## VI. Reviews for Promotion and Tenure and for Promotion

### 1. Criteria

#### 1a. Promotion to Rank of 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 Department and University. Excellence in teaching in the Department means providing to all students, undergraduate and graduate, the opportunity to realize their full capabilities for learning in political science and providing to the most capable and motivated students an enhanced learning experience. Excellence in scholarship means attainment of a national reputation as a scholar based on high-quality original research published in refereed journals and/or books. In evaluating scholarly attainment, the Department considers publications across the faculty member's career with special emphasis on their productivity since their time of hire at Ohio State. Excellence in service means making available a high level of professional expertise and experience to one or more publics – including the Department, the University, the Columbus community, the state of Ohio, the nation, and the profession. Service not tied to a faculty member's professional expertise is not relevant for promotion and tenure reviews. Excellence in both teaching and scholarship and valuable contributions to the Department's program are required for promotion to associate professor in the Department. Excellence or the potential for excellence in service also is highly desirable.

#### 1b. Promotion to 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. Excellence in teaching and scholarship and leadership in service since promotion to associate professor must be demonstrated. Although the department considers publications across the faculty member's career, for promotion it focuses on publications since promotion to associate professor and sends these to external reviewers. For promotion, the candidate must be recognized as a scholarly leader in her or his field based on high-quality original research in refereed journals and/or books.

#### 1c. Regional Campus Faculty

Expectations for regional campus faculty differ somewhat from those for faculty on the Columbus campus for initial appointment, annual reviews, and promotion and tenure. The primary mission of the regional campuses is to provide high quality undergraduate instruction and to serve the academic needs of their communities. The relative emphasis on teaching and service expected of regional campus faculty will, therefore, ordinarily be greater. While the Department expects regional college faculty to establish a program of high-quality scholarship and publication, it recognizes that greater teaching and service commitments and less access to research resources for regional campus faculty require different research expectations. The expectation is that regional campus faculty members will publish in journals and presses similar in quality and impact to those the Columbus faculty members publish in even if these are not always the exact same outlets as the Columbus faculty members typically publish in.

### 2. Procedures

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

#### 2a. 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 are also responsible for submitting a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.

If external evaluations are required candidates are responsible for reviewing the list of potential external evaluators developed by the department chair and the Promotion and Tenure 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.)

### 2b. Eligible Faculty Responsibilities

The responsibilities of the Eligible Faculty acting as the Promotion and Tenure Committee are as follows:

- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
  - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
  - A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
  - Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department chair that an untenured faculty member seeking non-mandatory 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 eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
  - **Late Spring:** Suggest names of external evaluators to the department chair.

**Autumn:** The Procedures Oversight Designee acting for the eligible faculty will 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.

- The Procedures Oversight Designee acting for the eligible will meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
- All eligible faculty members are to review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- All eligible faculty members are to attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote. Only eligible faculty members attending the review meeting either in person or via videoconference are allowed to vote.
  - A reporter appointed by the department chair will compose a letter following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting. This letter will be circulated to the eligible faculty members who attended the meeting for their approval. Once the reporter has the consent of those at the meeting that the letter is a good summary, the reporter forwards the letter to the department chair.
  - The reporter also provides a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier. This response is also circulated to the eligible faculty attending the meeting of eligible faculty held to decide if a comment is warranted.
  - Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure-initiating unit is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.

### 2c. Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- To appoint a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.

- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To inform each candidate in writing after completion of the department review process:
  - of the recommendations by the eligible faculty and department chair
  - of the availability for review of the written evaluations by the eligible faculty and department chair
  - of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the department chair, for inclusion in the dossier. In this notification the Chair informs the candidate that they must provide written confirmation within ten days that they do not intend to make a comment if that is their decision. If they do make a comment that is also due in ten calendar days.
- To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

#### 2d. 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.

#### 2e. External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track 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 scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will only solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

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

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

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, at least one of those persons is included in the chair’s list. The chairs submits his/her list to the Divisional College Dean and with the dean’s approval seeks letters from those on the approved list.. Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the Office of Academic Affairs suggested format, provided at <http://oaa.osu.edu/sampledocuments.html>, for letters requesting external evaluations.

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

## F. Documentation

### 1. Teaching

Excellence in teaching is demonstrated through a variety of indicators: student evaluations; honors received in departmental, University, or external competitions; syllabi and other teaching materials; dissertations and theses supervised; participation in oral exams; and contributions to the professional practice of teaching. Faculty members are required to have SEI evaluations administered as indicated in section IX below and to include all SEI reports in their Promotion and Tenure Dossier. In interpreting them, the departmental P & T Committee and the Chair will look for patterns of student evaluation across both items and courses, taking into account the level and enrollment of the course because these two factors are known to affect evaluations independent of the instructor. Syllabi and other materials (e.g., handouts, examinations) from all courses should be contained in the candidate’s departmental reading file for peer review by the P & T Committee members. First-hand peer knowledge of the candidate’s performance as an oral examiner, a dissertation or thesis supervisor, and an advisor by committee members also may be used in evaluating teaching. Other internal evidence of teaching quality from students and peers may be obtained by the Chair through systematic and objective procedures. The importance of the faculty member for the Department’s graduate and undergraduate teaching programs, including the number of students served and the centrality of the courses offered to the departmental program, is an important indicator as well. All of these various matters and considerations, including the previous annual peer reviews of teaching are weighed in the peer review of the candidate’s teaching.

## 2. Scholarship

Excellence in research is demonstrated through publication in political science and related fields in professional journals and books, presentation of scholarly papers at professional meetings, external research grants to support research, and recognition from other scholars in their fields of study and in the Department. Faculty members are expected to publish regularly in well-respected refereed journals and/or books in the discipline and in their areas of disciplinary specialization. Although the outlets for publication naturally will vary across fields and subfields, original works producing new knowledge for professional social science audiences and published in the top refereed journals and leading university or scholarly-oriented commercial presses generally are the most highly valued of all research accomplishments. The aforementioned indicators are but signs, albeit typically reliable signs, of scholarly excellence. Critical to their review of research is the eligible faculty's and Chair's professional judgment of the quality and significance of the candidate's scholarly work.

## 3. Service

Evidence of service excellence is provided through peer evaluation, where peers have first-hand knowledge of service contributions, and through external letters and other external sources. The service contribution of assistant professors during the probationary period is limited by design; nevertheless, it should include service on department and possibly university committees and service to the profession that includes reviewing manuscripts for journals and/or presses. The most important judgment in evaluating a candidate's service is that the candidate has the potential to achieve excellence in service in the future.

## VII Appeals

General criteria for appeals of negative promotion and tenure decisions are contained in Faculty Rule 3335-6-05 (A) (<http://trustees.osu.edu>) and details on appeals alleging improper evaluation are found in Faculty Rule 3335-5-05 (<http://trustees.osu.edu>).

## VIII Seventh Year Reviews

Faculty Rule 3335-6-05 (B) (<http://trustees.osu.edu>) sets forth the conditions of and procedures for a seventh year review for a faculty member denied tenure as a result of a sixth year review. When significant new information about the candidate's performance is available that is germane to the reasons for the original negative decision, the Department's Promotion and Tenure Committee will be convened by the Department Chair, at her/his discretion or upon a request from at least three tenured faculty, to address the question of whether the Dean should be petitioned to conduct a seventh-year review. Both a majority of the Committee and the Chair must approve such a petition. For a new review to take place, both the executive Dean and the Provost must support this petition. The petition must be initiated before the beginning of the candidate's terminal year of employment and in time to fit within the Department and University's regular review cycle. Once it is approved, a full review is conducted under the normal Promotion and Tenure rules. A faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by her or his tenure initiating unit, or appeal a negative decision following a seventh year review, since the faculty member already has been notified that tenure has been denied at the conclusion of the sixth year review.

## IX. Procedures for Student and Peer Evaluation of Teaching

### A. Procedures for Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) is required in every course offered in this department. Faculty should choose a day late in the semester when attendance is likely to be high if she or he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for perfor-



mance evaluation.

#### B. Procedures for Peer Evaluation of Teaching

At least once annually assistant professors have their teaching reviewed. This is done by a tenured faculty member and includes classroom visitation and results in a written report to the chair. At least once every two years associate professors have their teaching reviewed in the same fashion by a full professor. At the time of promotion to associate professor a probationary tenure-track faculty member must have at least five peer reviews of teaching. At the time of promotion to full professor an associate professor must have at least three peer reviews of teaching since his or her promotion to associate professor. For both assistant and associate professors, the chair of the department selects the tenured faculty members that will do the peer-reviews for each colleague being reviewed. In addition, to these peer reviews, at the annual review meetings of assistant and associate professors, the faculty members in attendance discuss the Student Evaluation of Instruction (SEI) results as well as course syllabi and other course materials for each colleague being reviewed. The annual review discussion also includes an evaluation of the faculty member's work with students on honors theses, master's theses, dissertations, and general examination committees. The senior faculty members in the candidate's field(s) play the leading role in conducting the peer review, but senior faculty from all fields participate.