

**Appointments, Promotion, and  
Tenure  
Criteria and Procedures for  
The Ohio State University  
Department of Psychology**

Approved by the Office of Academic Affairs: 2/15/2021

## APPOINTMENTS, PROMOTION AND TENURE DOCUMENT

### DEPARTMENT OF PSYCHOLOGY

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APPOINTMENTS, PROMOTION AND TENURE DOCUMENT  
Department of Psychology

I. Preamble

This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#), the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs [Policy 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 and the Office of Academic Affairs before it can 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 its criteria and procedures for faculty promotion, tenure, and rewards including salary increases. In approving this document, the Executive 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 continuing faculty and candidates for positions in relation to its mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](#) which states that:

*Peer review provides the foundation for decisions regarding faculty appointment, reappointment, and promotion and tenure (except when the provisions of paragraph (H) of rule 3335-6-03 of the Administrative Code are invoked). Peers are those faculty who can be expected to be most knowledgeable regarding an individual's qualifications and performance--normally tenure initiating unit colleagues. Because of the centrality of peer review to these review processes, faculty vested with responsibility for providing peer review have an obligation to participate fully and knowledgeably in review processes, to exercise the standards established in faculty rule 3335-6-02 of the Administrative Code and other standards specific to the academic unit and discipline, and to make negative recommendations when these are warranted to maintain and improve the quality of the faculty. Recommendations by the faculty vested with the responsibility for providing peer review will be accepted unless they are not supported by the evidence presented regarding how the candidate meets the standards established in faculty rule 3335-6-02 of the administrative code and other standards specific to the academic unit and discipline. When, for the reasons just stated, a decision regarding faculty appointment, reappointment, or promotion and tenure differs from the recommendation of the faculty, the administrator or body making that decision will communicate in writing to the faculty body that made the recommendation the reasons that the recommendation was judged not to be supported by the evidence.*

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's [policy on equal opportunity](#).

## II. Department Mission

The OSU Department of Psychology aims to produce exceptional, innovative research to advance knowledge about mind, brain, and behavior, with the goal of understanding and improving the human condition. We create, synthesize, and translate knowledge about behavioral, psychological, and brain processes to provide a foundation for educating our students and the public. We train undergraduate, graduate, and post-doctoral scholars to become 21st-century psychological scientists able to evaluate, apply, and create knowledge. We value diversity and inclusion of persons, perspectives, and approaches because it enriches our work and fosters a supportive and intellectually stimulating department community.

## 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, divisional deans, 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. Professional Practice Faculty

### Initial Appointment Reviews

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

### Reappointment, Contract Renewal, and Promotion Reviews

- For the reappointment, contract renewal, and promotion reviews of assistant professors of professional practice, the eligible faculty consists of all tenured associate professors and professors, and all nonprobationary associate professors and professors of professional practice.
- For the reappointment, contract renewal, and promotion reviews of associate professors of professional practice, and the reappointment and contract renewal reviews of professors of professional practice, the eligible faculty consists of all tenured professors, and all nonprobationary professors of professional practice.

## 3. Research Faculty

### Initial Appointment Reviews

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

### Reappointment, Contract Renewal, and Promotion Reviews

- For the reappointment, contract renewal, and promotion reviews of research assistant professors, the eligible faculty consists of all tenured associate professors and professors and all nonprobationary research associate professors and professors.

- For the reappointment, contract renewal, and promotion reviews of research associate professors and the reappointment and contract renewal reviews of research professors, the eligible faculty consists of all tenured professors and all nonprobationary research professors.

#### 4. Associated Faculty

##### Initial Appointment, Reappointment, and Contract Renewal

- Initial appointment (hiring or appointment change from another faculty type), reappointment, and contract renewal of associated faculty members are decided by the department chair in consultation with the vice chair for instruction and the associate vice chair for instruction.

Initial appointments at senior rank require a vote by the eligible faculty (all non-probationary faculty of professional practice and tenured faculty of equal or higher rank than the position requested) and prior approval of the executive dean of the college or designee.

##### Promotion Reviews

- Associated faculty are eligible for promotion but not tenure if they have adjunct titles, tenure-track titles with service at 49% FTE or below, or lecturer titles.

For the promotion reviews of associated faculty with tenure-track titles, the eligible faculty shall be the same as for tenure-track faculty as described in Section III.A.1 above.

For the promotion reviews of associated professional practice faculty, the eligible faculty shall be the same as for professional practice faculty as described in Section III.A.2 above.

The promotion of a lecturer to senior lecturer is decided by the department chair in consultation with the vice chair for instruction and the associate vice chair for instruction.

#### 5. Conflict of Interest

A conflict of interest (COI) 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 clear assessment of the candidate's contribution to the work is not possible. Generally, faculty members who self-identify as having a COI with the candidate (i.e. have collaborated with a candidate considerably since the last promotion) will be expected to withdraw from a promotion review of that candidate.

## 6. 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. Promotion and Tenure Committee

The Department has a Promotion and Tenure Committee that assists the Committee of Eligible Faculty in managing the personnel and promotion and tenure cases. The Promotion and Tenure Committee normally shall consist of six faculty members (5 from the Columbus campus and 1 faculty representative from the regional campuses) appointed by the Department Chair.

Typically, four of the members of the committee will be Professors and two will be Associate Professors, but covering diverse areas of expertise within the Department is paramount. If there are no regional promotion cases in a given year, the Chair may forgo appointment of a regional campus representative. The terms of the committee members will be 2 years, with initial appointments for half of the committee (1 Associate and 2 Professors) being for only one year to provide for annual replacement of half of the committee members. The committee will be expanded to include nonprobationary professional practice or research faculty when evaluating the promotion of professional practice and research faculty. Unless there is a conflict of interest or some other extenuating circumstance, the chair of the committee will be the Vice Chair for Faculty Research, Promotion, and Tenure (see department's POA). The Chair of the committee, with input from committee members, is responsible for preparing all promotion and tenure reports for individual candidates.

### C. 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. Faculty on approved leave are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave. A member of the eligible faculty on Faculty Professional Leave or on Special Assignment may be excluded from the count (i.e., the denominator) for purposes of determining quorum only if the Department Chair has approved an off-campus assignment. Regional campus faculty should be excluded from the count only if they cannot travel to the meeting or participate through video-link or other means.

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

### D. Recommendation from the Committee of 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 participate fully in the review process by voting on personnel matters.

Absentee ballots and proxy votes are not permitted.

## 1. Appointment

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

- In the case of a joint appointment, the department must seek input from a candidate's joint-appointment TIU prior to his or her appointment.

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

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

- In the case of a joint appointment, the department must seek input from a candidate's joint-appointment TIU prior to his or her reappointment, promotion and/or tenure, or contract renewal.

## IV. Appointments

### A. Criteria:

All appointments, reappointments, and promotion and tenure decisions are made with the intent of fostering the mission of the Department and are made in a non-discriminatory manner as outlined in Sections I and II. 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:**

#### **a. Instructor**

On occasion, an initial faculty appointment at the rank of instructor can be made if all requirements for the doctoral degree have not yet been completed but are imminent. The Department will make every effort to avoid such appointments. Such appointments are on a year-to-year basis and if the doctoral degree has not been obtained by the end of the third year, the third year will be the terminal year of employment.

Upon promotion of an instructor 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 Executive Dean or designee, 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.

#### **b. Assistant Professor**

The Department, in line with its stated mission and the mission of the University, is committed to making faculty appointments that enhance or have the strong potential to enhance the level of scholarship of the Department. The minimum criteria for Assistant Professor and untenured Associate Professor appointments are an earned doctorate in psychology or a highly related field (e.g., neuroscience), as well as research credentials that reflect strong potential to develop a high-quality, productive, independent research program in order to attain tenure and advance through the faculty ranks.

Appointment to the rank of Assistant Professor is always probationary and may not exceed six years, including prior service credit, unless, on the basis of very unusual and constraining circumstances, an appeal for an extension of the probationary period is requested and approved. The eligible faculty can vote for an extension (see section V. D). Promotion and tenure may be granted at any time during the probationary period when the faculty member's record of achievement merits tenure and promotion. Similarly, a probationary appointment may be terminated at any time subject to the notice provisions of rule [3335-6-03](#) of the Administrative Code and the provisions of paragraphs (G), (H), and (I) of this rule.

Probationary faculty members will be informed no later than the end of the year in which their mandatory review for tenure takes place as to whether tenure will be granted by the beginning of the following year. If tenure is not granted, a one-year terminal year of employment is offered, consistent with rule [3335-6-03](#) (B)(3).

### **c. Associate Professor and Professor**

Minimum criteria for tenured Associate Professors and Professors on the Columbus campus are an earned doctorate in psychology or a highly related field, a substantial record of scholarly achievement in one or more of the Department's program specialty areas, or cross-disciplinary tracks in brain-behavior science and an evident national reputation as a scholar with clear potential to attain international prominence (Associate Professor) or evidence of international prominence (Professor). There must be a high likelihood of continued and significant scholarly contributions and a judgment that the candidate will enhance the level of scholarship of the Department. There is often evidence of extramural funding or attempts to secure extramural funding in support of the research program. Additionally, there must be evidence that the candidate has been an effective teacher and has provided substantial service to the profession and previous employers. Finally, the candidate is expected to contribute to teaching, research, upholding the mission of the Department in a collegial and cooperative fashion.

An appointment as Professor or Associate Professor generally will entail tenure. However, a probationary period not to exceed four years may be granted by the Office of Academic Affairs upon petition of the department and College for appointment at senior rank without tenure. Review for tenure will occur in the final year of the probationary appointment. For the petition to be approved, a compelling rationale must be provided to support the request for appointment at senior rank without tenure. All appointments to the rank of associate professor or professor with or without tenure and/or offers of prior service credit require prior approval of the Executive Vice President and Provost.

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.

## **2. Tenure-track Faculty – Regional Campus:**

Minimum criteria for regional campus faculty appointments are generally similar to those for Columbus campus appointments. However, greater emphasis will be placed on teaching potential and teaching accomplishments in recognition of the heavier instructional mission of the regional campuses. The quality of research of regional campus appointments is expected to be high, but may be limited by reduced access to subject populations and obstacles to securing external funding. The length of the probationary period for regional campus faculty is the same as that of Columbus faculty.

## **3. Professional Practice Faculty**

Professional Practice Faculty are comprised of all persons with the title of Assistant Professor of Professional Practice of Psychology, Associate Professor of Professional Practice of Psychology, and Professor of Professional Practice of Psychology. These are non-tenure-track fixed term contract positions. Professional practice faculty are engaged in teaching practitioner-oriented courses and providing service related to the mission and goals of the Department. Appointment of professional practice faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. If the Department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. There is no presumption that subsequent contracts will be offered, regardless of performance. Tenure is not granted to professional practice faculty. For more information see Faculty Rule [3335-7](#).

### **a. Instructor of Professional Practice of Psychology**

Appointment is normally made at the rank of instructor of professional practice of psychology when the appointee has not completed the requirements for the terminal degree. The Department will make every effort to avoid such appointments. An appointment at the instructor level is limited to a three-year contract. In such cases, if the professional practice instructor has not completed requirements for promotion to the rank of assistant professor of professional practice by the end of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

### **b. Assistant Professor of Professional Practice of Psychology**

An earned doctorate, appropriate licensure, if relevant (e.g., providing supervision in Psychological Services Center), and proficiency in his or her specialty (e.g., training students and faculty in pedagogical skills) are the minimum requirements for appointment at the rank of Assistant Professor of Professional Practice of Psychology. Evidence of teaching expertise and supervision skills is highly desirable.

### **c. Associate Professor or Professor of Professional Practice of Psychology**

Appointment at the rank of Associate Professor or Professor of Professional Practice of Psychology requires that the individual meet, at a minimum, the Department criteria for teaching, professional practice, and professional service commensurate with advanced ranks.

## **4. Research Faculty**

Research Faculty members are comprised of all persons with the title of Research Assistant Professor of Psychology, Research Associate Professor of Psychology, and Research Professor of Psychology. These are non-tenure-track fixed term contract positions. Research faculty shall be engaged in funded research related to the mission and goals of the Department. Appointment of research faculty entails one- to five-year contracts. The initial contract is probationary, with reappointment considered annually. If the Department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. The ability of the research faculty member to procure funds to support research is an important consideration in the renewal evaluation. Tenure is not granted to research faculty. For more information see Faculty Rule [3335-7](#).

### **a. Research Assistant Professor**

Appointment at the rank of Research Assistant Professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an independent research program. Evidence of success in obtaining some degree of extramural funding is deemed necessary to be appointed at the rank of Research Assistant Professor.

### **b. Research Associate Professor and Research Professor**

Appointment at the rank of Research Associate Professor or Research Professor requires that the individual have a doctorate and meet, at a minimum, the Department's criteria for promotion to these ranks. Evidence of success in obtaining some degree of extramural funding is deemed necessary to be appointed to the rank of research associate or research professor.

## **5. Associated Faculty**

The Associated Faculty is comprised of all persons with Adjunct titles, Visiting titles, Lecturer titles and part-time (less than 50 percent appointment to the Department or University) Professors, Associate Professors, Assistant Professors, and Instructors.

Associated faculty appointments may be as short as a few weeks to assist with a focused project, a semester to teach one or more courses, or for up to three years when a longer contract is useful for long-term planning and retention. They may be reappointed given continued departmental needs and satisfactory performance.

**a. 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.

**b. 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 generally should not exceed one year.

**c. 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 generally should not exceed one year.

**d. Assistant Professor, Associate Professor, Professor with FTE below 50%**

Appointment at tenure-track titles is possible 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.

**e. Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor**

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

**6. 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, 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 outlining academic performance and citizenship. The chair will decide upon the request, and if appropriate, submit it to the Executive Dean or designee. 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.

## **7. Courtesy Appointments:**

At a minimum, a courtesy appointment (0% FTE) should be based on an expectation of the appointee's substantial involvement in the Department (e.g., student mentoring; teaching a course). Continuation of the appointment should reflect ongoing contributions to the Department mission. Appointments are made for a 3-year period and may be renewed. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

## **B. Procedures:**

### **1. Tenure-track Faculty:**

a. The Executive Dean 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 has the primary responsibility for the recruitment of all new academic personnel. All searches for tenure-track faculty are conducted on a national and international basis. Exceptions to this policy must be approved in advance by the College and the Office of Academic Affairs. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#) and the [Policy on Faculty Appointments](#). The Chair is assisted in recruitment by faculty search committees, the Executive Committee, and the faculty as a whole. All consultation with and votes by the faculty are advisory to the Chair. All appointments in the Department are made upon the recommendation of the Chair and the approval of the College. Additionally, appointments at Senior Rank, with or without tenure, require approval by the Executive Dean or designee and the Office of Academic Affairs. Potential appointment of a foreign national who

lacks permanent residency should be discussed with the Office of International Affairs. The University does not grant tenure in the absence of permanent residency status.

b. All Columbus campus position vacancies are Departmental, rather than by Area. The decision to allocate additional funds or to shift resources from one specialty program to another is the responsibility of the Chair, who will be advised in these matters by the Department's Executive Committee and the Columbus faculty as a whole.

c. The major faculty mechanism for recruiting is the Search Committee. The Department Chair will appoint a Search Committee for each tenure-track faculty position being recruited. Search Committees normally will consist of at least four faculty members, plus the Chair as an ex-officio member. Typically, no more than two members of the search committee will be from the position's program area(s) if the hire is targeted for an area. If the hire is not targeted for a particular area, the search committee will be appointed by the Chair to be relevant to the area of expertise being recruited. One member of the committee will be appointed by the Chair to serve as search committee chair and another member will be appointed as the Diversity Advocate, who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants. 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](#).

d. The Chair, working with relevant program area faculty and the search committee, shall prepare and place notices of position vacancies in appropriate professional journals such as the *APA Monitor*, *APS Observer*, *Science*, and *The Chronicle of Higher Education* and in internal publications according to university regulations. Job postings will also be made on relevant websites and professional society listservs. If there is any likelihood that the applicant pool will include qualified foreign nationals, at least one 30-day online ad must be placed in a national professional journal. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, or 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. As noted above, 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 professional journal. The committee shall make every effort to solicit applications from a diverse pool of candidates for all positions. The search committee screens all application materials and after consultation with the faculty of the relevant program area, recommends to the chair a rank ordered list of from 3 to 6 candidates for visits. The chair may select none, one, or more of these candidates to visit. Normally, three candidates would be invited to interview. If the chair has a substantial disagreement with the search committee recommendation regarding the candidates, advice of the Department's Executive Committee will be sought. The final recommendation, however, will reside with the Department Chair. The Department Chair sends the slate of candidates to the divisional dean for final approval.

e. The chair of the search committee, in consultation with the Department Chair, coordinates visits of all applicants. All candidates interviewing for a particular position must follow the same interview format. Faculty and graduate students from the relevant program area should be given an opportunity to meet with the candidates. Graduate student meetings with candidates should not be attended by faculty. All candidates for faculty positions shall be required to present a Departmental colloquium. Following campus visits, the search committee shall systematically solicit the reactions of faculty and students to the candidate.

f. The search committee makes a hiring (and, when applicable, rank) recommendation to the Department Chair. Faculty from the relevant program area(s) also make a recommendation to the Chair. If a candidate is judged to be desirable and a recommendation to extend a job offer is approved by the Chair, then the search committee takes this recommendation to the tenure-track faculty as a whole for discussion. Formal input of the faculty is provided in the form of a confidential ballot. A second ballot is taken among tenure-track faculty of equal or higher rank on the proposed rank of the applicant. In addition, if the offer involves prior service credit, eligible faculty must also vote on credit granted.

g. It is the responsibility of the faculty to attend, participate, and vote on every appointment. A quorum (51%; see also Quorum in Section III.C above) of Columbus campus faculty must be present at the time of the vote and vote yes or no for the vote to be valid. Abstentions are not votes. Absentee and proxy voting are not permitted. The Chair shall, in all cases, make the vote tally public.

## **2. Tenure-track Faculty – Regional Campus:**

Hiring of regional campus faculty is initiated by the Dean of the regional campus, since funding for the positions comes from those campuses. The regional campus faculty have the primary responsibility for determining the position description for a regional campus faculty search, but should consult with and reach agreement on the description with the Chair of the Department. With one exception, the process for hiring regional and Columbus campus faculty members is the same. In regional searches, the search committee will be comprised of two faculty members from the relevant regional campus and one from the Columbus campus. The regional campus faculty will be nominated by the Dean of the regional campus and approved by the Department Chair. 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. The letter of offer must be signed by the Department Chair and the regional campus Dean.

## **3. Professional Practice and Research Faculty**

The process for hiring professional practice and research faculty is generally the same as that outlined for tenure-track faculty on the Columbus Campus. On some occasions, the Department (by majority vote) may determine that exceptions to the typical hiring process occur (e.g., dispense with a research colloquium when the responsibilities of the professional practice hire are largely teaching). Exceptions to a national search only require approval by the Executive Dean or designee.

#### **4. Transfer from the Tenure-track**

Tenure-track faculty may transfer to a practice or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the Department Chair, the Executive Dean or designee, and the Executive Vice President and Provost.

The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed.

Transfers from a practice appointment and from a research appointment to the tenure-track are not permitted. Practice faculty members and research faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

#### **5. Associated Faculty:**

The appointment, reappointment, and contract renewal of all compensated associated faculty are decided by the department chair following consultation with the vice chair for instruction and the associate vice chair for instruction.

All associated appointments expire at the end of the appointment term and must be formally renewed to be continued.

**a. Lecturers:** Individuals seeking employment as a lecturer submit a curriculum vitae documenting a Master's degree or Ph.D. in Psychology (or a related field) and a summary of their teaching experience to the associate vice chair for instruction. Individuals are hired at either the level of Lecturer or Senior Lecturer, according to criteria listed in IV.5.b. and c. The Vice Chair for Instruction and the Associate Vice Chair for Instruction, in consultation with the Department Chair, will select lecturers to be hired. Lecturer and senior lecturer appointments are made on an annual basis and rarely semester by semester. After the initial appointment, and if the department's curricular needs warrant it, a multiple year appointment may be offered.

**b. Adjuncts:** Late each spring semester or early in the fall semester, the Chair shall solicit from each area coordinator a listing of those individuals the area wishes to recommend for adjunct faculty status for the impending academic year. A curriculum vitae and justification of the significant contribution expected by the appointee shall accompany each nomination. Formal input of the faculty is provided in the form of a secret ballot. The Chair will make the vote public. All nominees shall be notified of their appointments by the Department Chair and approved by the Executive Dean or designee.

**c. Visiting Faculty:** Visiting appointments may be made for one term of up to three years or on an annual basis for up to three years.

## 6. Courtesy Appointments:

- a. Nominations for courtesy appointments of individuals holding tenure-track, clinical, or research appointments in other tenure initiating units at Ohio State typically are initiated by the tenure-track faculty via the faculty member's program area.
- b. Nominations shall be made to the faculty as a whole and shall consist of an oral presentation by the area coordinator accompanied by the distribution of the nominee's curriculum vitae and any other materials deemed useful. Emphasis should be placed on the contributions the nominee will make to the area and the Department.
- c. Following discussion, a vote by confidential ballot will be taken by the Chair. The Chair will make the vote tally public. The Chair will notify the nominee of the Department decision. In the event of an appointment, the Chair also will seek approval of the Executive Dean or designee and will notify the nominee's Department Chair.
- d. Procedures for termination of a courtesy appointment may be initiated by any faculty member. Following discussion of the case for termination, a vote by confidential ballot will be taken by the Chair. All courtesy appointments will be reviewed every three years. The primary reason for failing to renew an appointment is the lack of a substantive contribution to the Department. In the event of a non-renewal, the Chair will notify the individual and the individual's Department Chair.

## V. Annual Performance and Merit Review Procedures

The Department follows the requirements for annual performance and merit reviews as set forth in the [Policy on Faculty Annual Review and Reappointment](#), 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.

Annual performance and merit review of the faculty is primarily based upon expected performance in teaching, scholarship, 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](#)) to include a reminder in the annual performance and merit review letter that all faculty have the right (per Faculty Rule [3335-5-04](#)) 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 no later than the final day of autumn semester classes:

- Annual Activity Report (a 3-year rolling summary of research, teaching, and service activity (*all faculty*)
  - By late January of each year, all faculty members must provide the Chair with their Annual Activity Report available in the faculty resources tab on the department website. The documentation must include, but is not limited to: 1) a written report of accomplishments in instruction, research and other scholarly activity, and service for the three year period preceding the annual review, 2) teaching evaluations, including summaries of SEI surveys collected in all classroom courses during the prior three academic years (or period since hire if less than three years), and 3) a list of other accomplishments to date.
- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required for assistant and associate professors*)
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)
  - CVs should be prepared in a conventional format, which ensures comparability of these documents across faculty in the Department. Copies of faculty CVs are available in the Department main office, and any faculty member may arrange to review them.

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.

The evaluation is conducted annually by the Department Chair and is informed by input provided by the faculty member, from and in consultation with the Department's Peer Review Committee (see Pattern of Administration), and reviews by the tenured faculty (for probationary tenure-track, research, and practice faculty) and the Professors (for tenured associate professors and research and practice Associate Professors). Faculty members will recuse themselves from rating or formally evaluating any other faculty member for whom a conflict of interest exists (e.g., a familial or comparable relationship or close research collaboration).

## B. Probationary Tenure-track Faculty:

1. General: At the time of appointment, probationary faculty members shall be provided with all pertinent documents detailing Department, College, and University promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided with copies of the revised documents. Performance reviews of probationary faculty take place during the Spring semester of every year. For untenured faculty, this review is a critical component of monitoring progress toward tenure and promotion. The annual review also serves as a basis for annual salary recommendations, for assisting faculty in developing and carrying out professional plans, and for calling attention to performance problems where they may exist. It is expected that probationary faculty will exhibit substantial strength and continued progress in research, teaching, and service within the context of the mission of the Department, university rules pertaining to promotion and tenure, and years in service as an Assistant Professor. Performance in all three areas should show a trajectory toward demonstrating excellence, though excellence in research and teaching are especially important as these are the chief dimensions of performance appraisal at the time of consideration for promotion and tenure.

2. Faculty Review: Formal annual review of probationary faculty is conducted by the Chair and Peer Review Committee, as well as during a meeting of the tenured faculty late in Spring semester each year. The review by the Peer Review Committee and Chair is largely for the purpose of determining annual salary adjustments, but summaries of this information also will be shared with the tenured faculty. Evaluation of probationary faculty by the full tenured faculty is largely for purposes of giving feedback about progress toward tenure. Criteria and procedures for annual reviews are comparable to those used for formal review for promotion and tenure, with expectations appropriately adjusted for years in service. The assessment of performance should include both strengths and weaknesses, as appropriate. Ordinarily, annual external evaluations of scholarly work are not solicited.

3. Feedback: For each probationary faculty member, the Department Chair appoints a mentoring committee that consists of three tenured faculty in the Department. The committee may be selected in consultation with the probationary faculty member. The committee must include at least one member from the probationary faculty member's program area and one faculty member outside of that area. If the faculty member is part of a cross-disciplinary area, the committee must include at least one member from the home area and the cross-disciplinary area; the third member can be from any area. The committee meets with the faculty member at least once per year to provide advice and feedback about performance. The mentoring committee also reports to the Department's promotion and tenure committee about progress of the probationary faculty member. In addition, the Department Chair meets with every untenured faculty member annually to discuss the faculty member's performance and future goals and plans. Following this meeting, the chair will convey in writing to faculty members feedback regarding their performance in the teaching, research, and service categories. The evaluation also includes a recommendation on whether to renew the probationary appointment. This feedback is to include any evaluative assessments provided by the meeting of the tenured faculty, during the deliberations of the Peer Review Committee, and any other pertinent assessment of the faculty member's progress toward tenure. This written report also includes information informing faculty of their rights to review

their personnel files and to submit for inclusion in the files a written comment on any material contained therein. A copy of the written report also is provided to the Executive Dean or designee.

Annual reviews are to be constructive and candid. Tenured faculty in the Department and the Chair use the review process as a means to offer support to untenured faculty, as well as to candidly and clearly communicate aspects of performance that need to be addressed in order to make acceptable progress toward tenure. All annual review letters become part of a faculty member's dossier (along with the faculty member's comments, if he or she chooses) for subsequent annual reviews during the probationary period, including the review for promotion and tenure.

4. Reappointment: Following an annual performance and merit review, if the Chair's recommendation is to reappoint the faculty member to another probationary year of service, that recommendation shall be final. The tenured faculty and the Chair should not renew a probationary appointment following any annual review in which it is apparent that the candidate's likelihood of meeting expectations for promotion and tenure are poor. Probationary appointments may be terminated during any probationary year because of inadequate performance or inadequate professional development. A recommendation from the Chair to not reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures per Faculty Rule [3335-6-03](#); also see below), and the final decision shall be made by the Executive Dean or designee.

#### C. Probationary Tenure-track Faculty - Regional Campus:

For each probationary regional campus faculty member, the Department Chair appoints a mentoring committee that consists of one tenured faculty member from the Columbus campus and one tenured faculty member from the probationary faculty member's campus. The committee may be selected in consultation with the probationary faculty member. The committee meets with the faculty member at least once per year to provide advice and feedback about performance. The mentoring committee also reports to the Department's promotion and tenure committee about progress of the probationary faculty member. For untenured regional campus faculty, the annual documentation requirements, faculty review procedures, and feedback are generally the same as those outlined above for the Columbus campus faculty. The annual performance and merit 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. Since the regional campuses review teaching and service activities of regional campus faculty, the written feedback from the Chair and annual meeting with the Chair will be restricted to an evaluation of research performance. This feedback also will be conveyed to the appropriate regional campus Dean. In the event of divergence in performance assessment between regional campus and the Department, the Chair discusses the matter with the regional campus Dean in an effort to reconcile the divergence, so that the faculty member receives consistent assessment and advice.

#### D. Probationary Tenure-track Faculty - Fourth Year Review:

The fourth-year review of probationary faculty shall follow the same process as the review for tenure and promotion at the Department and College levels (see below) with two exceptions: external letters of evaluation are not solicited, and the Executive Dean or designee makes the final decision regarding renewal or non-renewal of the probationary appointment.

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

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

The eligible faculty forwards a record of the vote and a written performance review to the department chair, who 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 departmental review, the formal comments process (per Faculty Rule [3335-6-04](#)) is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal.

#### E. Probationary Tenure-Track Faculty – Exclusion of Time from Probationary Period:

[Faculty Rule 3335-6-03](#) (D) 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 OAA [Policies and Procedures Handbook](#).

#### F. Tenured Faculty Evaluation:

1. General: Performance reviews of all faculty take place annually. The annual review serves as a basis for assisting faculty in developing and carrying out professional plans and for calling attention to performance problems where they may exist. It is expected that all tenured faculty will exhibit substantial strength and continued progress in research, teaching, and service, consistent with the mission of the Department.

2. Faculty review: Formal annual review of tenured Associate Professors is conducted by the Peer Review Committee, and in a meeting of the Professors each year. This meeting generally occurs either immediately following the meeting of the tenured faculty during which annual review of the untenured faculty is conducted or at a separate meeting during Spring semester. The assessment of performance should include both strengths and weaknesses, as appropriate. This review plays a critical role in monitoring progress toward promotion to the rank of Professor.

Formal annual review of the Professors is conducted by the Peer Review Committee, and additional review is provided by the Department Chair. 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 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.

3. Feedback: Tenured faculty will be provided with a scheduled opportunity to meet with the Chair or the Chair's designee. In addition, each year the Chair will convey in writing to each tenured faculty member feedback regarding performance in the teaching, research, and service categories (for Columbus faculty). This feedback includes any evaluative assessments provided by the meeting of the Professors (in the case of Associate Professors), assessments made by the Peer Review Committee (for all tenured faculty), and any other pertinent information, including discussion of dimensions on which the assessment by the faculty, the Peer Review Committee and/or the Chair differ. Annual reviews are intended to be constructive and candid, and to communicate aspects of performance that need improvement as well as strengths. All annual review letters become a part of a faculty member's dossier.

4. Response to evaluation and review of personnel file: The annual performance and merit review letter from the Chair includes a reminder that the faculty member may respond, in writing, to feedback about performance and that the faculty member may review her or his personnel file. Faculty Rule [3335-3-35-08](#) states that at the time of initial appointment and at the time of annual review, faculty members shall be given notice of their right to review their personnel file. A member of the faculty may place in his or her primary personnel file a response to any evaluation, comment, or other material contained in the file.

#### G. Tenured Faculty – Regional Campus:

For tenured regional campus faculty, the annual documentation requirements, faculty review procedures, and feedback are generally the same as those outlined above for the Columbus campus faculty. The annual performance and merit 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. Since the regional campuses review teaching and service activities of regional campus faculty, the written feedback from the Chair will be restricted to an evaluation of research performance. This feedback will be conveyed to the regional campus Dean. In the event of divergence in performance assessment between the regional campus and the Department, the Chair discusses the matter with the regional campus Dean in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

## H. Professional Practice and Research Faculty

1. For professional practice and research probationary and nonprobationary faculty, the annual documentation requirements, faculty review procedures, and feedback are generally the same as those outlined above for the Columbus campus tenure track probationary and tenured faculty, respectively. The focus of the review, however, is on professional training and instructional activities (e.g., course SEIs; student feedback) for professional practice faculty and on research activity (e.g., publications, grants) for research faculty. Non-probationary professional practice faculty may participate in the review of professional practice faculty of lower rank, and research faculty may participate in the review of research faculty of lower rank.
2. The initial contract is probationary, and individual faculty will be informed by the end of each year as to whether he or she will be reappointed for the following year. By the end of the penultimate year of the term contract and following an advisory vote of the eligible faculty, the Department Chair may decide to renew or not renew the contract. The Chair will inform the faculty member of his or her decision. In the event that a new contract is not extended, the final year of the term contract is the terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.
3. If the position is to continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.
4. During and until the end of the second and subsequent contract periods, professional practice and research faculty appointments may be terminated if the faculty member is not meeting the terms of the contract (e.g., failure to obtain extramural support for the research; provide appropriate high quality professional practice activities). The Chair will consult with departmental faculty if substantial changes to the initial contract are under consideration. Appointments also may be terminated during a contract period for cause (see rule [3335-5-04](#) of the Administrative Code), or financial exigency (see rule [3335-5-02.1](#) of the Administrative Code), and the termination decision for either of these reasons shall result from procedures established by faculty rules. A contract may be renegotiated during a contract period only with the voluntary consent of the faculty member.
5. Decisions to reappoint or not reappoint by the Department Chair will be final, and a copy of the letter of appointment or termination letter will be forwarded to the college. The non-renewal form must also be submitted to the Office of Academic Affairs, along with a copy of the non-renewal letter sent to the faculty member, by June 1st of the year in which the non-renewal occurs.

## I. Associated Faculty

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The Department Chair or designee (i.e., Vice Chair for Instruction) prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. The Department Chair 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.

## J. Salary Recommendations

### 1. Criteria:

Salary increases for Columbus tenure-track, professional practice, and research faculty are determined by the Chair (in consultation with the ASC Executive Dean or designee) The chair's determinations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months. Salary increases are thus based exclusively on merit unless a clear case for equity adjustments can also be made. For tenure-track faculty, accomplishments in research, teaching, and service are all considered in arriving at a final determination of any salary increase, with research receiving the most weight (50%). For practice faculty, accomplishments in instructional and professional training and quality of service to the Department will be considered along with any other criteria outlined in the letter of offer. For research faculty, accomplishments in research and grant activity will be considered in salary decisions along with any other criteria outlined in the letter of offer. Raises for regional campus faculty are determined by the regional campus Deans/Directors after consultation with the Department Chair (limited to an evaluation of research activity). Practice and research faculty are not eligible for travel funds or bonuses that may be awarded as a result of peer review ratings of research, teaching, and service.

Ordinarily, assessment of research accomplishments is centered on the amount of high-quality scholarly research published in well-respected outlets (e.g., refereed journals and/or refereed books) in psychology and brain sciences, presentation of scholarly papers at scientific meetings, citations to one's work, and generation of grant support for research. Teaching is evaluated by the Peer Review Committee in conjunction with the Vice Chair for Instruction and the Department Chair. The quality of teaching contribution is assessed by a variety of criteria. Faculty must obtain SEI data for every classroom course taught. Any written evaluations distributed in class must be collected by someone other than the faculty member (e.g., a department staff person). Elements that contribute to positive ratings include: a balance between undergraduate and graduate courses; enrollment figures; importance of the course to the Department's undergraduate and graduate curricula; and (particularly with respect to junior

faculty) annual peer reviews of pedagogical efficacy. Beyond formal instructional activities, faculty also are evaluated on the basis of their supervision of high-quality dissertations, masters and honors theses, and scholarly papers and presentations by students. Assessment of service includes a judgment of the extent of effort, accomplishment, and value to the Department whether one's professional expertise is devoted to a task within the Department, the University, the State of Ohio, the Nation, or the profession of psychology.

## 2. Procedures:

Annually, the Department's Peer Review Committee is asked to review all tenure-track faculty members' accomplishments in the teaching, research, and service domains for the previous three-year period. The Peer Review Committee, using the criteria above, conveys to the Chair a numerical and narrative assessment of each faculty member's performance in each area. For practice faculty, the evaluation procedures will be the same but the documentation and, therefore, evaluation of performance in research will necessarily be limited or nonexistent. In contrast, for research faculty, the evaluation procedures will be the same, with the exception that documentation and, therefore, evaluation of performance in teaching and service activities will necessarily be limited or nonexistent. For Columbus faculty, it is the responsibility of the Department Chair to translate the Peer Review Committee ratings and any other pertinent information available into a salary recommendation reflecting annual and career accomplishments. As a general approach to formulating salary recommendations, the department chair 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, since 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:

#### 1. Promotion of Tenure-track faculty to Associate Professor with Tenure:

a. According to Faculty Rule [3335-6-02](#) (D): In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. Ordinarily, any deviation from normal requirements for a faculty member will be specified in a letter of offer or formal memorandum of understanding. In

addition, as the university enters new fields of endeavor, 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 criteria with sufficient flexibility. However, 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.

b. According to Faculty Rule [3335-6-02](#) (C): The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.

Tenure is not awarded below the rank of Associate Professor at The Ohio State University.

c. Promotion to Associate Professor with tenure in the College of Arts and Sciences requires excellence in both scholarship and teaching, where scholarship is defined as research, scholarly and/or creative work. The promise of excellence in service is desirable. Excellence in scholarship means attainment of measurable national or international recognition based on an appropriate amount and rate of high-quality published research and/or other relevant creative endeavors. A successful candidate will have an emerging national reputation as a scholar. Excellence in teaching means the development of courses that reach their learning goals; the provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. Excellence in service means the provision of a high level of professional expertise and experience to one or more publics – including the University, the Columbus community, the State of Ohio, the nation, and professional organizations. The service contribution during the probationary period of assistant professors is limited by design, but enthusiastic and full participation in assigned service is expected. 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](#).

Promotion to Associate Professor with tenure in the Department requires demonstrated excellence in both scholarship and teaching; excellence in service is also highly desirable. The claim that promotion of the candidate will improve the overall scholarly quality and standing of the Department and Program area needs to be supported. Internal cases for promotion to Associate Professor and external hires at that rank should be equally strong and meet the same standards. Internal cases of promotion also should be comparable to the quality of external candidates who could be hired at the same level. Put simply, successful candidates for tenure should be among the strongest in their academic cohort nationally.

d. Excellence in research means attainment of measurable national and international recognition based on an appropriate amount and rate of high-quality scholarly research. This excellence typically will be demonstrated through publications in psychology and related fields in

professional peer-reviewed journals and books, presentations of scholarly papers at professional meetings, research grants, and recognition among other scholars in the field (as evidenced in citations, awards received, and external evaluations) and the department. Research excellence should be such that successful candidates for tenure are displaying impact and momentum in their research program. One measure of such impact is whether the candidate would be considered as a plausible nominee for early career awards given by relevant professional organizations such as the American Psychological Association, Association for Psychological Science, or more specialized societies in disciplinary areas. Candidates should also demonstrate a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to a research program, and ethical treatment of undergraduate and graduate students, postdoctoral fellows, and collaborators. Demonstration of high quality and visible scholarship is fundamental to positive tenure and promotion decisions. The specific outlets that are first rate will vary from one subfield of psychology to another; however, faculty are expected to publish regularly in well-respected outlets (e.g., top tier refereed journals) in the discipline and in their areas of disciplinary specialization. Original works producing new knowledge in top refereed journals are the most highly valued of all research accomplishments.

e. Excellence in teaching means providing to all students the opportunity to realize their full capabilities for learning in psychology and providing to the most capable and motivated students an enhanced learning experience. Over a 3-year period, it is expected that all faculty will teach both undergraduate and graduate courses (involving direct contact between the faculty member and students at least once a week in a classroom setting). Excellence in teaching is demonstrated through student evaluations, peer review of instructional materials (e.g., syllabi, classroom assignments, evaluation procedures), processes (e.g., engagement of students, enrollment figures, dropout rates), and importance of the courses taught in the Department graduate and undergraduate programs. Attention also is paid to supervision of high-quality dissertations, masters and honors theses, and scholarly papers and presentations by students.

f. Excellence in service is reflected in providing a high level of professional expertise and experience to the Department, the University, the state of Ohio, and the profession. The amount of service contribution expected during the probationary period of assistant professors is limited by design, but the service contribution must be of high quality. Evidence of service excellence is provided through peer evaluation of service contributions, and through external letters and other external methods. Poor service at the Department level imposes additional service burdens on other faculty and may impair Department functioning, thereby damaging the Department reputation. Thus, poor Department service is an acceptable basis for a negative tenure recommendation. Each candidate is expected to contribute to the Department community of scholars and to promote collaborative efforts and advances in knowledge. All faculty members will be held to a high standard of departmental citizenship in the process of carrying out their duties in teaching, research, and service.

## 2. Promotion of Tenured Faculty to Professor:

a. According to Faculty Rule [3335-6-02](#) (C): 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.

b. Promotion to Professor in the Department of Psychology embraces the pursuit of scholarly excellence as our core value. The Department also recognizes that a career may consist of various phases in which a concentration on scholarly activity, teaching, or administrative/professional service constitutes a professional career. Promotion to Professor typically requires excellence in scholarship. When a candidate has made truly extraordinary contributions in the areas of teaching or service, the record may warrant promotion in the presence of a less extensive, though excellent record of continued productivity in scholarship.

Excellence in scholarship is reflected in attainment of measurable national or international recognition based on an appropriate amount and rate of high-quality published research and/or other relevant creative endeavors. A successful candidate will have achieved national distinction as a scholar and have an emerging international reputation. Excellence in teaching is exhibited in providing to all students the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. It can be measured by the attainment of national or international recognition, as evidenced by pedagogical publications, awards, honors, and/or critical student outcomes. Excellence in service is reflected in the provision of a high level of professional expertise and experience to one or more public domains – including the University, the Columbus community, the State of Ohio, the nation, and professional organizations.

In addition, as further specified by Faculty Rule [3335-6-02](#), 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 expectations 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.

External hires at the Associate or Professor level with tenure will demonstrate the same accomplishments in scholarship, teaching and service as persons promoted within the university. In the evaluation of untenured professors for tenure, the same criteria apply, along with any other criteria established in writing at the time a senior rank appointment without tenure was offered. For all tenured faculty, a continuing high rate of quality scholarship and/or excellence in teaching and service is expected.

c. The Department expects an individual ready for promotion to Professor to be the driving force of a nationally/internationally visible research program with demonstrated impact on the field. Although the individual seeking promotion should be assessed in relation to assigned responsibilities, exceptional performance in these responsibilities should be required. Internal cases for promotion and external hires at the rank of Professor should be equally strong and meet equivalent standards. Internal cases also should be comparable to the quality of external candidates who could be hired.

### 3. Regional Campus Faculty:

Expectations for regional campus faculty differ somewhat from those for faculty on the Columbus campus. 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. Although the Department expects regional campus faculty to establish a program of high-quality scholarship and publication, it is recognized that greater teaching and service commitments and less access to research resources for regional campus faculty mandate different research expectations. In general, although regional faculty are not expected to have a research output that is as high as that for Columbus faculty for promotion, the overall quality of the research is expected to be at a similar level as for Columbus faculty.

### 4. Professional Practice and Research Faculty:

a. Promotion of Professional Practice or Research Faculty to the rank of Associate Professor in the Department requires innovative/effective teaching or training in profession practice for practice faculty and excellence in scholarship for research faculty. There must be evidence that promotion of the candidate will improve the overall quality and standing of the Department and Program Area(s) in the relevant domain (professional practice training, research). Internal cases for promotion and external hires at this rank should be equally strong. The promotion of Professional Practice Faculty requires demonstrated improvements in the departmental curriculum (design of new courses or programs, innovations in the delivery of training, attention to practices of assessing whether training is effectively meeting learning goals) or enhancements in the pedagogical expertise of graduate students and faculty within the Department. The promotion of Research Faculty necessitates demonstration of a thematically focused, systematic, and funded research program that contributes to knowledge in an area of expertise valued by the Department.

b. The Department expects an individual ready for promotion to Professor to be a role model for less senior faculty, for students, and for the profession. Exceptional performance in the areas described above for promotion to the level of Associate Professor are expected to be well-established and to be visible at the national and international levels of the discipline. Internal cases for promotion and external hires at this rank should be equally strong and meet the same standards.

c. Documentation for the promotion of professional practice and research faculty will comport with the above requirements for tenure-track faculty. However, normally professional practice faculty teach and engage in service but do not conduct research, while research faculty conduct research but do not teach. Therefore, documentation of research is not generally expected for professional practice faculty and documentation of teaching is not generally expected for research faculty. Documentation of service is required only if the faculty member has significant service responsibilities.

## 5. Associated Faculty:

- a. Promotion to Adjunct Associate Professor and Adjunct Professor. The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track faculty above.
- b. Promotion to Associate Professor and Professor with FTE below 50%. The relevant criteria for the promotion of associated faculty members with tenure-track titles are those for the promotion of tenure-track faculty above.
- c. Promotion to Associate Professor of Professional Practice and Professor of Professional Practice. The relevant criteria for the promotion of associated practice faculty members shall be the same as those for the promotion of practice faculty above.
- d. Promotion to Senior Lecturer. Lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank as described in Section IV.A.5.
- e. Promotion of Visiting Faculty. Visiting faculty members are not eligible for promotion.

## B. Procedures for Tenure-Track, Professional Practice, and Research Faculty:

### 1. University Promotion and Tenure Procedures:

#### a. General University Considerations

- i. In consultation with the University Senate Rules Committee or its designee, the Office of Academic Affairs shall develop and promulgate procedural guidelines for promotion and tenure reviews to supplement the Rules of the University Faculty. These guidelines shall include a dossier outline to be used for the documentation of accomplishments by all candidates to be reviewed for promotion and tenure. The guidelines shall also include general information about the review process at the college and university level, examples of criteria by which candidates for promotion and tenure are evaluated, and other information intended to assist academic units in carrying out reviews.
- ii. All candidates for promotion and tenure are reviewed by the eligible faculty and by the Chair of the Department. Candidates also will be reviewed at the college and university levels. The Department Chair is responsible for informing the candidate in writing of the Executive Vice President and Provost's final decision (if negative) or recommendation to the Board of Trustees (if positive).
- iii. The review for tenure during the final year of the probationary period is mandatory and must take place. A faculty member may ask to be considered for non-mandatory promotion and tenure or for promotion review at any time; however, the department's Committee of Eligible Faculty may decline to put forth a faculty member for formal non-mandatory promotion and tenure review or promotion review if the candidate's accomplishments are judged not to warrant such

review. The Committee of Eligible Faculty may not deny a tenured faculty member a formal review for promotion for more than one year.

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 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 make a positive recommendation during the review itself.

iv. Only the candidate may stop a review for promotion and tenure after external letters of evaluation have been sought. The candidate may withdraw from review at any stage of the process by so informing the Department Chair in writing. If the review process has moved beyond the Department, the Department Chair shall inform the Executive Dean or designee of the candidate's withdrawal. Withdrawal from the mandatory tenure review during the final probationary year will result in tenure not being granted.

#### b. OAA Review Procedures for the Tenure Initiating Unit

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule [3335-6-04](#) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the *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.

##### i. Candidate Responsibilities

Candidates for promotion and tenure or promotion are responsible for (1) submitting a complete, accurate dossier and (2) providing a copy of the APT under which they wish to be reviewed. If external evaluations are required, candidates are responsible for (3) reviewing the list of potential external evaluators compiled for their case according to department guidelines.

#### **Dossier**

Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. 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.

An outline of all materials required for compliance with OAA guidelines and a list of dates by which all materials and responses are due to the P&T Committee and/or Chair will be

provided to candidates by the Chair well in advance of the semester during which the formal review will be conducted.

While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by him or her.

The time period for teaching 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 or the last five years, whichever is less, to present.

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.

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.

Teaching: Documentation for an evaluation of a candidate's teaching performance includes student ratings and written comments, peer review, and indicators of the magnitude of service to the Department's undergraduate and graduate teaching missions.

- Student evaluation: OAA requires each department to utilize a single method for all faculty to solicit student input on their courses. For this purpose, the Psychology Department requires all faculty to obtain SEI data for each classroom course that they teach. All SEI summaries must be included in the dossier materials for fourth year, tenure, and promotion reviews.
- Peer Review: All faculty provide to the designated staff person each semester the course syllabi for each classroom course that they teach. For fourth year, tenure, and promotion reviews, information is reviewed regarding the numbers of undergraduate and graduate students taught in formal and informal instructional activities; service on honors theses; service on graduate theses, candidacy exams, and dissertation committees; self-assessments of teaching activities; teaching publications; and teaching awards. Peer review of teaching is also required as explained further in Section IX.

Research: Evaluation of a candidate's research performance includes documentation of the quantity and quality (e.g., journal impact ratings, published reviews of books) of publications, magnitude of candidate's contributions to all publications, citations to the candidate's work, submitted grant proposals and obtained research funding, and Department, College, University, and national research awards received. In addition to this information, internal and external letters of evaluation, and the candidate's publications are examined.

Service: Evaluation of a candidate's service activities includes documentation of service provided to the Community, Department, College, University, as well as professional service activities (e.g., editorial and reviewing activities, leadership roles for professional organizations). Additionally, attention is given to any service awards or honors won.

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

### **Appointments, Promotion, and Tenure (APT) Document**

Candidates must also submit a copy of the APT under which they wish 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. The APT document must be submitted when the dossier is submitted to the department.

### **External Evaluations** (see also External evaluations below)

As noted above, if external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to departmental guidelines. 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.

#### ii. Promotion and Tenure Committee responsibilities

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
  - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack

of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.

- A tenured faculty member may only be denied a formal promotion review under Faculty Rule [3335-6-04](#) 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:** The committee chair will recommend to the department chair one person from the committee to be appointed as the department's Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
  - **Late Spring:** Suggest names of external evaluators to the department chair.
  - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
  - Meet with each candidate for clarification as necessary and provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
  - Draft an analysis of the candidate's performance in teaching, scholarship, and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.

- Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- Provide a written evaluation and recommendation to the department chair in the case of joint appointees from another tenure-initiating unit. 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.

### iii. Committee of Eligible Faculty responsibilities

- Review the candidate's dossier describing accomplishments in teaching, scholarship, and service in advance of the meeting at which the candidate's case will be discussed.
- Attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance.
- Participate in discussion of every case and vote on the candidate. A report of the faculty assessment, including both strengths and weaknesses, and the numerical vote of the faculty shall be forwarded to the Department Chair for inclusion in the dossier.

### iv. Chair responsibilities

- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- 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:** Unless the Promotion and Tenure Committee chair discharges this responsibility, to solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the department chair, and the candidate. Letters shall be obtained from at least five external evaluators and from other units at this University in which the candidate has an appointment of greater than 0% FTE. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the above-authorized persons will not be included in the dossier. (Also see External Evaluations below.)

- To solicit an evaluation from a TIU head of any TIU in which the candidate has a joint appointment.
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. At the request of the eligible faculty, the department chair will 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 eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the departmental 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. 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 the established deadline, except in the case of associated faculty when the department chair recommends against promotion. In such cases, a negative recommendation by the department chair is final.

- To receive the 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 TIU head of the other tenure-initiating unit by the date requested.

#### v. 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.

#### vi. Procedures for Associated Faculty

Adjunct faculty, associated faculty with tenure-track titles, and associated practice faculty for whom promotion is a possibility follow the promotion guidelines and procedures detailed in Section VI.B above, with the exception that the review does not proceed to the college level if the department chair's recommendation is negative, and does not proceed to the executive vice president and provost if the executive dean or designee's recommendation is negative.

#### vii. 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 research appointment contract renewals and promotion reviews. External evaluations of scholarly activity and research are not obtained for practice or associated faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a practice faculty member will be made by the department chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

A minimum of five credible and useful evaluations must be obtained. A credible 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 solicit evaluations only 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, more letters are sought than are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) 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 will 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](#) 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.

## 2. Department Promotion and Tenure Guidelines:

a. Individual faculty normally are put forward for promotion to Associate Professor with tenure at the time mandated by OAA regulations. Requests for non-mandatory tenure review (i.e., early tenure or for promotion to Associate Professor of professional practice and research faculty) can be brought forward at the annual Spring semester meeting of the Promotion and Tenure Committee by any member of the committee. Prior to this, however, the nominator(s) should seek the advice of the Department Chair, the Chair of the Faculty and Staff Evaluation

Committee, and the tenured faculty in the candidate's program area. After a candidate's name is brought forward, a non-mandatory (i.e., early) review will be initiated if approved by a majority of the Committee of Eligible Faculty in a confidential ballot, and approved by the candidate. Failing a majority vote, the Chair also can request an early review with the candidate's approval.

b. Individual faculty normally are put forward for promotion to Professor (tenure-track, professional practice, or research faculty) when nominated by one or more of the Professors in their substantive program areas. However, requests for promotion from Associate to Professor can be brought forward at the annual Spring semester meeting of the Committee of Eligible Faculty by any Professor in the Department. Prior to this, however, the nominator(s) should seek the advice of the Chair, the Chair of the Faculty and Staff Evaluation Committee, and the professors in the candidate's program area or area of specialization. After a candidate's name is brought forward, a review for promotion will be initiated if approved by a majority of the voting committee members in a secret ballot, and approved by the candidate. Failing a majority vote, the chair can request a review for promotion to Professor with the candidate's approval. A tenured faculty member cannot be denied consideration for promotion (when he or she requests it) more than once.

c. As noted in Section III.A, for tenure and promotion actions concerning Assistant Professors being considered for promotion to Associate Professor with tenure, the Committee of Eligible Faculty shall be all tenured Associate Professors and Professors. For Associate Professors being considered for promotion to Professor, the Committee of Eligible Faculty will consist only of Professors. On occasion, a member of the Department's Committee of Eligible Faculty should abstain from participation in a particular case due to conflict of interest. At a minimum, faculty members with a familial or comparable relationship with a candidate should not participate in the review of that candidate. In addition, a close professional relationship may give rise to a conflict of interest. For example, it may be difficult for a faculty member to objectively review a candidate when the faculty member is co-author on a significant portion of the candidate's publications or when the faculty member is dependent in some way on the candidate's professional services. Any member of the Committee of Eligible Faculty can request that another member recuse him or herself from consideration of any particular case. If the faculty member in question does not agree that a conflict exists, a majority vote of the faculty will be utilized to determine whether the faculty member should be removed from the committee for the case in which there is a suspected conflict. Issues of conflict must be determined and resolved before formal consideration of the candidate. See also Section III.A.5.

d. The Vice Chair for Faculty Research, Promotion, and Tenure shall convene the committee, and shall recommend to the Department Chair one person from the committee to be appointed as the Department's Procedures Oversight Designee (POD) as required by university guidelines.

e. The committee will solicit external reviews. First, the P&T Committee shall create, in consultation with the senior faculty in the candidate's area a list of 10-12 external reviewers. In accord with College guidelines, external reviewers will come from peer institutions or more highly ranked institutions. For reviews of promotion to Associate Professor, the majority of letters should be from Professors, and for reviews of promotion to Professor, all of the letters should be from Professors. The list of possible reviewers is shared with the candidate in an

attempt to determine any conflicts of interest that might exist. The P&T committee will decide whether any conflicts suggested are serious enough to preclude requesting a letter. The candidate can suggest up to three additional external reviewers to the committee, but no more than 50% of the external evaluation letters can be from the candidate's list. The college requires that the Associate Dean for faculty affairs must review the list of suggested evaluators before they are contacted. Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the tenure or promotion review. If an external evaluator initiates contact with the candidate regarding the review, the candidate must inform the evaluator that the contact is inappropriate and report the contact to the Department Chair and the Vice Chair, who will decide appropriate action. All solicited letters that are received must be included in the dossier. If concerns arise after a letter is received, these concerns can be addressed in the P&T Committee report or brought to the attention of OAA for advice. A minimum of five credible external letters should be obtained. See also External Evaluations in Section VI.B.1.b.vii above.

f. After confirming the cooperation of external reviewers, a full CV and other relevant materials pertaining to research (e.g., statement of research program, selected publications) are provided to them and a written evaluation requested. The guidelines for communicating with external referees detailed in Volume 3 of the [OAA Policies and Procedures Handbook](#) will be followed. External reviewers will be asked to comment on the candidate's research program including quality, quantity, standing in the field, and future potential. External reviewers will be encouraged to make comparisons with individuals at peer institutions in the candidate's substantive area of research and comment on standing of the candidate relative to others in the subfield. The goal is to identify and promote candidates who are in the top tier among members of their academic cohort.

g. In cases where a candidate has collaborated extensively, a letter from the collaborator(s) describing contributions to the jointly conducted work is solicited by the Vice Chair for Faculty Research, Promotion, and Tenure. The collaborator also is asked to comment on the candidate's contributions.

h. The Vice Chair for Faculty Research, Promotion, and Tenure shall make complete copies of the candidate's promotion materials available to promotion and tenure committee members at least one week prior to the scheduled date of the promotion and tenure meeting. Materials will be available either in hard copy form in a secure room of the Department main office or electronic copies will be available on a secure website. All materials will also be kept on file by the administrative assistant to the Department Chair.

i. It shall be the function of the P&T Committee to evaluate the credentials of all candidates for promotion to Associate Professor and Professor in a given year, as well as all 4th year review candidates. Only the Professors on the P&T Committee will evaluate candidates for Professor. The committee will carry out these evaluations in a manner that conforms to department and college standards as well as to the procedures for promotion and tenure and promotion reviews that are set forth in Faculty Rule [3335-6-04](#) and in the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#). The committee shall review the qualifications of each candidate on the

criteria of research, teaching, service and shall consult with the candidate's cognate area. The P&T Committee shall present a summary of its evaluation to the Committee of Eligible Faculty when that committee is convened to review and vote on candidates. The Report shall present a thorough assessment of the strengths and deficiencies of each candidate on research, teaching, and service. The report should avoid gross generalities and instead provide specifics regarding the quality and quantity of a candidate's scholarship and the national visibility of the candidate's program of research. Reports on teaching and service should be similarly specific, citing evidence and data rather than making gross evaluative statements. The report on a candidate will be presented to the Committee of Eligible Faculty by the Chair of the P&T Committee. The P&T Committee shall not recommend or endorse any candidate. Instead, it should report objectively as an evaluative body and present evidence regarding the candidate's standing in the field. The Committee of Eligible Faculty should draw its own conclusions from this report.

j. Only members of the Committee of Eligible Faculty who have read the candidate dossiers and who are in attendance at the voting meeting will be allowed a vote on the promotion and tenure decision. A quorum (51%) of eligible faculty must be present, and two-thirds must vote yes for an affirmative decision. See also Quorum in Section III.C above. Abstentions are not votes. Absentee and proxy voting are not permitted. The Chair shall, in all cases, make the vote public.

k. Prior to the formal vote and discussion of the P&T Committee report, the P&T Committee chair will conduct an informal confidential vote that will serve to guide discussion among the eligible faculty. This informal vote will indicate the extent to which the eligible faculty strongly supports, leans toward, leans against, or strongly opposes tenure and/or promotion.

l. Following the informal vote, the P&T Committee presents its report and a full discussion of the candidate takes place. The department chair may provide any evaluative input at this point and answer any questions about candidates that arise. Following discussion, the formal vote is taken. Following the final vote, the P&T Committee chair will prepare a document (letter) for each candidate summarizing the candidate's qualifications, the discussion of the eligible faculty, and the reason for the vote. This document shall be circulated to members of the Committee of Eligible Faculty who read the dossier and attended the voting meeting. Feedback on the document is solicited, and the letter is revised accordingly and signed by the chair of the P&T committee. The letter for each candidate shall be approved by the Committee of Eligible Faculty and then will become a permanent part of the candidate's dossier.

m. The Department Chair will prepare a letter of evaluation for all candidates and will notify candidates of the outcome of the Departmental review. The final Promotion and Tenure committee report and the Department Chair's letter to the Dean are made available to candidates. Each candidate is informed in writing that he/she has 10 days from receipt of this notice to provide any written comments (including procedural complaints) on these reports for inclusion in the dossier. The candidate also is informed that the Department eligible faculty and Chair will have an opportunity to respond in writing to the candidate's comments.

n. The procedures for regional campus faculty will comport with the above procedures. In addition, however, regional campus faculty shall be reviewed by the faculty and dean and director on the appropriate regional campus using procedures established on each campus. This

review shall occur first and focus primarily on the faculty member's contributions in teaching and service. The dean and director shall forward the report of the regional campus faculty and his or her recommendation to the Department Chair, from which point the review follows the procedures described for the Columbus campus faculty. These letters become part of the candidate's dossier, and are advisory only.

o. The procedures for promotion of research and professional practice faculty will comport with the above procedures for tenure-track faculty, though the purview of the review is focused on research for research faculty and on teaching and service for professional practice faculty.

p. Faculty who are hired with tenure undergo an expedited review that can be conducted at any time due to the exigencies of the hiring cycle. The criteria for tenure and rank for external hires are the same as for internal tenure and promotion cases. Formal reviews of external hires are typically focused more intently on the candidate's research profile, though some reasonable assessment of the candidate's teaching and service record should also be made. For faculty hired at the rank of Associate Professor who have never been tenured previously, the selection of external reviewers follows the same procedure as that described above for internal tenure cases. The same is true for faculty being appointed as Professor who have never achieved this rank previously (i.e., the same procedure for soliciting external letters as for internal cases is followed). A minimum of five external letters of recommendation must be obtained. No more than three of the letter writers can be suggested by the candidate. These letters should focus on the overall quality and impact of a candidate's research program but also provide information about teaching and service if available.

## VII. Appeals

a. Faculty Rule [3335-6-05](#) (A) sets forth general criteria for appeals of negative promotion and tenure decisions. Further detail on appeals alleging improper evaluation is contained in Faculty Rule [3335-5-05](#).

b. Appeals. It is the policy of The Ohio State University to make decisions regarding the renewal of probationary appointments and promotion and tenure in accordance with the standards, criteria, policies, and procedures stated in these rules, supplemented by additional written standards, criteria, policies, and procedures established by tenure initiating units and colleges. If a candidate believes that a nonrenewal decision or negative promotion and tenure decision has been made in violation of this policy, the candidate may appeal the decision. 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

a. Faculty Rule [3335-6-05](#) (B) 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) review.

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

### A. Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) is required in every course offered in this Department. These data are collected for each faculty member and stored by the Assistant to the Chair for use by the Peer Review Committee in annual reviews of faculty.

### B. Peer Evaluation of Teaching

Peer reviewers will be asked:

- to review the teaching of probationary tenure-track and professional practice faculty at least once per year during each year of service before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.
- to review the teaching of tenured associate professors and non-probationary professional practice associate professors at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six-year period, providing at least four peer reviews of teaching before the commencement of a promotion review.
- to review the teaching of tenured professors and non-probationary professional practice professors at least once every other year with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.
- To review, upon the Department Chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The Department Chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [Michael V. Drake Institute for Teaching and Learning](#).

Reviews conducted upon the request of the Department Chair or the faculty member focus on the specific aspects of instruction requested by the Department Chair or faculty member and may or may not include class visitations.

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi

and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.

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

In addition to the regular review of teaching described above, the Department requires two reports of peer reviews of teaching for fourth year, tenure, and promotion evaluations made within one year of the review date. For the Columbus campus, evaluation of teaching will be conducted by tenured faculty in the Department. Letters of evaluation will be submitted to the Vice Chair for Faculty Research, Promotion, and Tenure and the Chair of the P&T Committee (if different from the Vice Chair). Regional campus faculty are responsible for providing the additional teaching evaluations for each regional campus candidate. One review must come from a senior member of the Department on any regional campus. The other can be provided by a senior faculty member inside or outside of the Department. Regional program directors are charged with obtaining these reviews, and will be notified by the chair of the P&T Committee at the start of the semester during which the review is due.