

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 (<https://trustees.osu.edu/university/facultyrules>) the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook (<https://oaa.osu.edu/policies-and-procedures-handbook>) and other policies and procedures of the college and university to which the department and its faculty are subject.

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

This document must be approved by the 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 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 (<http://hr.osu.edu/policy/policy110.pdf>).

II. Department Mission

The Ohio State University aspires to be among the world's truly great universities—advancing the well-being of the people of Ohio and the global community through the creation and dissemination of knowledge. Four core elements are seen as critical components in terms of achieving the University's goal: Becoming a national leader in the quality of our academic programs; becoming universally recognized for the quality of the learning experience we offer our students; creating an environment that truly values and is enriched by diversity; and expanding the land-grant mission to address our society's most compelling needs. The Department of Psychology defines its mission within those guidelines and with the intent of assuming a position nationally and internationally as one of the premiere research departments of psychology.

The Department of Psychology at Ohio State is dedicated to the continuing pursuit of excellence in research, in teaching, and in service to the profession, university, citizens of Ohio, and the nation. The Department is committed to being at the forefront of the creation, transmission, and application of new knowledge regarding psychology and its relation to brain and behavior and to educating psychological scientists of the 21st century. The foundation of the Department's mission is research. Research informs our teaching and service activities, and is itself a specialized form of teaching that guides students and faculty in their search for new knowledge in psychological and brain sciences. The undergraduate mission, centered on psychology's role as a pivotal social and life sciences discipline, focuses on maintaining a high quality undergraduate major, currently the second largest at the university (as well as providing a significant amount of the coursework for ASC's undergraduate Neuroscience degree). The graduate mission is focused upon achieving international distinction in research and training for each of the specialty areas and cross-disciplinary tracks offered by the Department. Both the undergraduate and graduate programs are research intensive in emphasis and thus provide unique opportunities for its students to learn both inside and outside of the classroom.

III. Definitions

A. Committee of the Eligible Faculty

1. Tenure-Track Faculty

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

The eligible faculty for senior rank new appointments and for reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of equal rank

to or higher than the candidate whose tenure resides in the Department excluding the Department Chair, the Dean and Assistant and Associate Deans of the College, the Executive Vice President and Provost, and the President.

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the Department excluding the Department Chair, the Dean and Assistant and Associate Deans of the College, the Executive Vice President and Provost, and the President.

2 Clinical Faculty

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

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the Department and all nonprobationary clinical faculty of equal rank to or higher than the candidate whose primary appointment is in the Department excluding the Department Chair, the Dean and Assistant and Associate Deans of the College, the Executive Vice President and Provost, and the President.

3 Research Faculty

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

4. 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.

5. Minimum Composition

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

B. Promotion and Tenure Committee

The Department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of six faculty with representation of both full and associate professors and multiple graduate specialty areas. One member of the committee is from one of the regional campuses. The committee's chair and membership are appointed by the Department Chair. The term of service is two years, with reappointment possible. Terms are staggered so that no more than 3 members rotate off in a given year. The chair of this committee, who serves as the Chair's Vice Chair for Faculty and Staff Evaluations, is always a Full Professor and is ultimately responsible for preparing all P&T 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. 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 the 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 the Eligible Faculty

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

Absentee ballots and proxy votes are not permitted.

1. Appointment

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

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

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

IV. Appointments

A. Criteria:

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.

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

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. 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 (Associate Professor) or evidence of (Professor) international prominence. There must be a high likelihood of continued and significant scholarly contributions and a judgment that the addition of the candidate will improve the level of scholarship of the Department. There must be reasonable attempts to secure extramural funding to support this research program. Additionally, there must be evidence that the applicant has been an effective teacher and has provided substantial service to the profession and previous employers. Finally, the applicant must have exhibited good citizenship behavior, 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 the petition to be approved, a compelling rationale must be provided regarding why appointment at a senior rank is appropriate but tenure is not. All appointments to the rank of associate professor or professor require prior approval of the Executive Vice President and Provost.

2. Tenure-track Faculty – Regional Campus:

Minimum criteria for regional campus faculty appointments are generally similar to those for Columbus campus appointments. However, relatively less weight will be placed on the quantity of a candidate's research compared to Columbus appointments and more emphasis will be placed on teaching potential and 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 issues of access to subject populations and difficulty with funding. The length for probationary period for regional campus faculty is the same as that for Columbus faculty.

3. Clinical Faculty

Clinical Faculty are comprised of all persons with the title of Clinical Assistant Professor of Psychology, Clinical Associate Professor of Psychology, and Clinical Professor of Psychology. These are non-tenure-track fixed term contract positions. Clinical faculty are engaged in teaching practitioner-oriented courses and service related to the mission and goals of the Department.

Appointment of clinical 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. Tenure is not granted to clinical faculty. For more information see Faculty Rule 3335-7 (<https://trustees.osu.edu/university/facultyrules>).

a. Clinical Instructor of Psychology

Appointment is normally made at the rank of instructor of clinical 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 clinical instructor has not completed requirements for promotion to the rank of clinical assistant professor 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. Clinical Assistant Professor of Psychology

An earned doctorate, appropriate licensure (if relevant, for 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 Clinical Assistant Professor of Psychology. Evidence of teaching expertise and supervision skills is highly desirable.

c. Clinical Associate or Clinical Professor of Psychology

Appointment at the rank of Clinical Associate Professor or Clinical Professor of Psychology requires that the individual meet, at a minimum, the Department's criteria — in teaching, professional practice and other service, — for promotion to these 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 (<https://trustees.osu.edu/university/facultyrules>)

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

6. 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 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. The Chairperson is assisted in recruiting activities 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 College Dean 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.

d. The Chair, working with relevant program area faculty and the search committee shall prepare and place notices of the 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. The committee shall make every effort to solicit applications from a diverse pool of candidates for all positions and will attend a training or orientation on this topic offered either by the college or the university. The search committee screens all application materials and following the application deadline and extensive 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 via the Faculty Search Diversity Report.

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. All faculty and the relevant program areas' graduate students 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 Chairperson. 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 on the issue of appointment is provided in the form of a secret ballot. A second ballot is taken by tenure-track faculty of equal or higher rank on the proposed rank of the applicant.

g. It is the responsibility of the faculty to attend, participate, and vote on every appointment. A quorum (51%) 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 public.

2. Tenure-track Faculty – Regional Campus:

Hiring of regional campus faculty is initiated by the Dean of the regional campus, since funding for these positions comes from these campuses. The regional campus faculty have the primary responsibility for determining the position description for a regional campus faculty search, but it 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, two members of the search committee will come 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, and the letter of offer must be signed by the Department Chair and the regional campus dean.

3. Research and Clinical Faculty

The process for hiring research and clinical 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 clinical hire are largely teaching, etc.). Exceptions to a national search only require approval by the college dean.

4. Transfer from the Tenure-track

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the Department Chair, the College Dean, 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 clinical appointment and from a research appointment to the tenure-track are not permitted. Clinical faculty members and research faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

5. Associated Faculty:

a. Lecturers: Individuals seeking employment as a lecturer submit a vita documenting a Ph.D. in Psychology or a related field and their teaching experience to the HR Manager in the Department. Individuals are hired at either the level of *Lecturer* (minimum of 2 years of experience at collegiate level) or *Senior Lecturer* (minimum of 10 years of teaching experience, along with demonstrated excellence). The Vice Chair for Instruction, in consultation with the Department Chair, will select lecturers to be hired.

b. Adjuncts: Late each spring semester or early in the fall semester, the Chairperson 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 vita 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 Dean.

6. Courtesy Appointments:

a. Nominations for courtesy appointments to individuals holding tenure-track, clinical, or research appointments in other tenure initiating units at OSU typically are initiated by the tenure-track faculty in the different program areas.

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 secret ballot will be taken by the Chair. The Chair will make the vote 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 College Dean 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 secret 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 Review Procedures

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

Annual review of the faculty is primarily based upon information provided by the Annual Activity Report (a 3 year rolling average of research, teaching, and service) and the member's CV. The evaluation is conducted 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 clinical faculty) and the Professors (for tenured associate professors and research and clinical 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).

A. 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 strong confidence about excellence in research and teaching accomplishments are crucial as these are the chief dimensions of performance appraisal at the time of consideration for promotion and tenure.

2. Documentation: By early January of each year each faculty member must provide the Chair with documentation of performance in teaching, research, and in service, as well as evidence of continuing development. The Chair will provide faculty with the format for this documentation (using the Annual Activity Report – a 3 yr rolling average or a different program such as 'Vita'). The documentation must include, but is not limited to: 1) an updated curriculum vita, 2) a written report of accomplishments in instruction, research and other scholarly activity, and service for the three year period preceding the annual review, 3) 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 3), and 4) a list of accomplishments to date using the Office of Academic Affairs dossier outline. 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 review them at a convenient time.

3. Faculty Review: Formal annual review of probationary faculty is conducted by the Chair and Peer Review Committee, and in a meeting of the tenured faculty scheduled for late in the 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 sought.

4. Feedback: For each probationary faculty member, the Department Chair appoints a mentoring committee that consists of three tenured faculty in the Department. The committee is selected in consultation with the probationary faculty member. The committee must contain 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, as well as a salary recommendation and rationale (for Columbus faculty). 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. Finally, it 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. This written feedback also is provided to the Dean.

Annual reviews are to be constructive and candid. Tenured faculty in the Department and the Chair use the review process as a means to be supportive and helpful 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 a part of a faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure.

5. Reappointment: If, following an annual review, 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 (see below), and the Dean shall make the final decision in the matter.

B. 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 is 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. However, 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 deans. 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.

C. 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 one exception: external letters of evaluation are not solicited. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the Dean of the College.

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

1. [Faculty Rule 3335-6-03](#) (D) provides for adjustment of the tenure clock for birth or adoption of a child. Upon written notification of the Chair, Dean, or OAA, all probationary faculty are granted a one year exclusion of time from the probationary period for every child-birth or adoption event. This exclusion is guaranteed provided the faculty member informs the head of her/his tenure initiating unit, the dean, or the Office of Academic Affairs in writing within one year of the birth or the adoption and no later than April first of the mandatory review year. It is the responsibility of the unit head to inform the college dean and office of academic affairs of the birth or adoption. The probationary faculty member may decline the one-year exclusion by informing her/his unit head in writing before April first of the original mandatory review year. It is the responsibility of the unit head to inform the college dean and Office of Academic Affairs of the faculty member's choice to decline the exclusion. The maximum adjustment is three years for three separate child-birth or adoption events. Probationary faculty who have previously received one year of exclusion for any reason will have a maximum of an additional two years of exclusion and faculty who already have had two years of time excluded from the probationary period for any reason will have a maximum of one additional year of service excluded from the

probationary period. Requests for time to be excluded from the probationary period also may be made in one year increments for up to three years for personal illness, care of sick or injured person, or other factors beyond a faculty member's control that significantly interfered with productivity. Part-time faculty may also apply for an adjustment of the tenure clock, in line with the faculty rule.

2. Although individuals may apply for consideration of an exclusion because of extenuating circumstances (see Faculty Rule [3335-6-03](#) (D) at any time within the limits of the rule, the Department may wish to consider during the annual review process whether to recommend application for such an exclusion. However, the Department may not require a faculty member to apply for excluded time. All requests must be made prior to April 1 of the year in which the mandatory review for tenure must occur. Any given request must not exceed one year of exclusion. All requests to exclude time from the probationary period for birth or adoption of a child must be submitted to the Chair, Dean or the Office of Academic Affairs. All other requests must be submitted to the chair and reviewed by the promotion and tenure committee. The latter body will advise the chair regarding the appropriateness of the request. Approval of such requests must come from the Chair, Dean, and Executive Vice President and Provost.

E. Tenured Faculty Evaluation:

1. General: Performance reviews of all faculty take place annually. The annual review also serves as a basis for annual salary recommendations (see below), 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. Documentation: By early January of each year each faculty member (Tenure-track; Research; and Clinical) must provide the Chair with documentation of performance in teaching, research, and in service, as well as evidence of continuing development. The Chair will provide faculty with the format for this documentation. The documentation must include, but is not limited to: 1) an updated curriculum vita using the Office of Academic Affairs dossier outline, 2) a written report of accomplishments in instruction, research and other scholarly activity, and service for the three year period preceding the annual review (currently using the Annual Activity Report), and 3) teaching evaluations, including summaries of SEI surveys collected in all classroom courses during the prior three academic years. 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 review them at a convenient time.

3. 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.

4. 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 is to include 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.

5. Response to evaluation and review of personnel file: The annual 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 their initial appointment and when they receive their annual review, faculty members shall be given notice of their right to review their personnel file maintained by their tenure initiating unit. 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.

F. 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. However, 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 deans. 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.

G. Research and Clinical Faculty

1. For research and clinical faculty, the annual documentation requirements, faculty review procedures, and feedback are generally the same as those outlined above for the Columbus campus tenure track faculty except the focus of the review is on research activity (e.g., publications, grants) for research faculty and on clinical and professional training and instructional activities (e.g., course SEIs; student feedback) for clinical faculty.

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. 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, research and clinical faculty appointments may be terminated for not meeting the terms of the contract (e.g., failure to obtain extramural support for the research; provide appropriate high quality clinical activities). The Chair will consult with departmental faculty if substantial changes to the initial contract are under consideration. Appointments may also 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.

H. Associated Faculty

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The Department Chair, or designee (ie 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's recommendation on renewal of the appointment is final. If the recommendation is to renew, the Department Chair may extend a multiple year appointment.

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

VI. Merit Salary Increases and Other Rewards

A. Criteria:

Salary increases for Columbus tenure-track, research, and clinical faculty are determined by the Chair (in consultation with the ASC Dean) and are 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 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. For clinical faculty, accomplishments in instructional and professional activity and quality of service to the Department will be considered 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). Research and clinical 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 Departmental 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., an area secretary). 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 by members of the Teaching Mentor Committee. 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.

B. 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 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. In contrast, for clinical faculty, the evaluation procedures will be the same but the documentation and, therefore, evaluation of performance in research 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.

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.

C. Documentation:

The annual performance review of every faculty member requires that all documentation described in Section V above be submitted to the Chair by early January of each year. Failure to submit documentation will result in no raise through the salary merit process.

VII. Promotion and Tenure and Promotion Reviews

A. Criteria:

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 spelled out 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. However, consideration will be given to whether the candidate has demonstrated appropriate departmental citizenship (see ‘h’ below) and will achieve excellence in service in the future. Excellence in teaching, research, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics: <http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>.

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 impactful 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 reviews of instructional substance (e.g., syllabi, materials and assignments, feedback on assignments and exams) and process (e.g., clarity of speech and visual materials, engagement of students, enrollment figures, dropout rates), importance of the courses taught to the Department's graduate and undergraduate programs, and so forth. 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 means making available a high level of professional expertise and experience to the Department, the University, the state of Ohio, and the profession. The amount of the service contribution during the probationary period of assistant professors is limited by design, but the quality of the service contribution must be evident. Evidence of service excellence is provided through peer evaluation, where peers have first-hand knowledge of service contributions, and through external letters and other external methods. Poor service at a Departmental level at best imposes additional service burdens on other faculty and at worst may obstruct the Department's ability to function and damage its reputation. Thus, very poor Departmental service is an acceptable basis for a negative tenure recommendation. Evaluations of performance for promotion at any rank will involve an assessment of departmental citizenship. Each candidate is expected to contribute to the department's role as a community of scholars and to promote collaborative efforts and advances in knowledge. All members will be held to a high standard of departmental citizenship in carrying out his or her responsibilities 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 takes 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 creates a composite professional life. Promotion to Full Professor typically requires excellence in scholarship. Where a candidate has made truly extraordinary contributions in the areas of teaching or service, that record may warrant promotion in combination with a less extensive, though excellent record of continued productivity in scholarship.

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 achieved national distinction as a scholar

and have an emerging international reputation. Excellence in teaching means 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. 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 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. Demonstrations of good citizenship within the Department are also expected. 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. For all, a high rate of quality scholarship and/or excellence in teaching and service needs to continue.

c. The Department expects an individual ready for promotion to Professor to not only be the driving force of a nationally/internationally research program with demonstrated impact on the field, but also to be a role model for colleagues, less senior faculty, and for students. 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 that rank should be equally strong and meet the same 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 recognizes 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 very good.

4. Research and Clinical Faculty:

a. Promotion of Research or Clinical Faculty to the rank of Associate Professor in the Department requires excellence in scholarship for research faculty and innovative/effective teaching or high quality service for clinical faculty. The claim that promotion of the candidate will improve the overall quality and standing of the Department and Program Area(s) in the relevant domain (research, clinical service, or teaching/service) must be supported. Internal cases for promotion and external hires at this rank should be equally strong. The promotion of Research Faculty would necessitate a demonstration of a thematically focused, systematic, and funded research program that contributes to knowledge in an area of expertise valued by the Department. The promotion of Clinical Faculty would require demonstrated improvements in the departmental curriculum (design of new courses or programs, innovations in the delivery of

courses, attention to practices of assessing whether courses are meeting learning goals) or enhancements in the pedagogical expertise for graduate students and faculty within 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 long-established and to be acknowledged 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.

B. Procedures:

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 and by all probationary faculty for annual reviews. The guidelines shall also include general information about the review process at the college and university level, information about any legal considerations affecting promotion and tenure evaluations, 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 more than once.

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.

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

b. OAA Mandated Review Procedures at the Tenure Initiating Unit Level

i. The candidate for promotion and/or tenure shall have primary responsibility for preparing, according to Office of Academic Affairs guidelines, a dossier documenting his or her accomplishments.

The candidate will submit a copy of the department's APT Document that was in effect at the time of his or her hire or when s/he was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.

ii. The Chair of the Faculty and Staff Evaluation Committee shall be responsible for gathering internal evidence of the quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service from students and peers, as appropriate, within the tenure initiating unit. The Department Chair or Chair of the Faculty and Staff Evaluation Committee shall also be responsible for obtaining letters 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. Some of the external evaluators should be suggested by the candidate and some by the Department Chair and promotion and tenure committee. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the above-authorized persons may not be included in the dossier.

iii. The eligible faculty shall review the candidate's dossier describing accomplishments in teaching, scholarship, and service and shall 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. The Chair will prepare a separate written assessment of the case and recommendation for the dean for inclusion in the dossier. As soon as the faculty report and Chair's letter have been completed, the candidate should be notified in writing of the completion of the Departmental review and provided a copy of these reports. The candidate may provide the Department Chair with written comments on the Departmental review for inclusion in the dossier within ten

calendar days of notification of the completion of the review. The promotion and tenure committee and/or Department Chair may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the Departmental level review is permitted.

v. The Department Chair will forward the dossier with all internal and external evaluations, candidate comments on the departmental review and promotion and tenure committee and/or Department Chair responses to those comments, if any, to the Dean of the College.

2. Department Promotion and Tenure Procedures:

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 research and clinical 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. Once 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 secret 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, clinical, 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. Once 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. The Promotion and Tenure Committee of Eligible Faculty shall participate in the tenure and promotion actions concerning Assistant Professors being considered for promotion to Associate Professor with tenure. The committee will consist only of Professors in the promotion action concerning Associate 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 remove the person from the committee for the case for which there is a suspected conflict. Issues of conflict must be determined and resolved before formal consideration of the candidate.

d. There will be a single *Promotion and Tenure Committee* for all promotion and/or tenure candidates in a given year. It 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, though covering diverse areas of expertise within the Department is paramount. If there are no regional cases in a given year, then the Chair may forgo an 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 Department Chair will appoint each year a chair of the Committee. Unless there is a conflict of interest or some other extenuating circumstance, the chair of the committee will be the Vice Chair for Faculty and Staff Evaluation (see department's POA).

e. The Chair for Faculty and Staff Evaluation shall convene the committee, and shall recommend to the Department Chair one person from the committee to be appointed as the Department's Procedural Oversight Designee (POD) as required by university guidelines.

f. 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 from peer institutions or better. For reviews of promotion to Associate Professor, the majority of letters should be from Professors, and that for reviews of promotion to Professor, all of the letter 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 can decide whether any conflicts suggested are serious enough to preclude requesting a letter. The candidate can also suggest up to 4 additional external reviewers to the committee. No more than 25% 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 actually 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 what action is warranted. 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.

g. 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 its 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 identify where the candidate stands relative to others in the subfield more generally. The goal is to identify and promote candidates who are in the top tier among members of their academic cohort.

h. In cases where a candidate has collaborated extensively, a letter from the collaborator(s) describing their contributions to the jointly conducted work is solicited by the Vice Chair for Evaluations. The collaborator also is asked to comment on the candidate's contributions.

i. The Vice Chair for Faculty/Staff Evaluations shall make complete copies of the candidate's promotion materials available on the Box to promotion and tenure members at least one week prior to the scheduled date of the promotion and tenure meeting. These materials will also be kept on file by the secretary of the Department Chair.

j. 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 the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#). It shall review the qualifications of each candidate on the criteria of research, teaching, service, and departmental citizenship, 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 where this level of scholarship places the candidate nationally. The report should explain and document whether the candidate is comparable or better than candidates who could be hired at the same level and provide evidence as to whether or not the candidate for tenure is among the strongest in his or her academic cohort. 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 (or conversely, fail to 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.

k. Only members of the Committee of Eligible Faculty who have read the candidates' 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. Abstentions are not votes. Absentee and proxy voting are not permitted. The Chair shall, in all cases, make the vote public.

l. Prior to the formal vote and discussion of the P&T Committee's report, the P&T Committee chair will take an informal vote that will serve to guide discussion among the eligible faculty. This informal vote will indicate to what extent prior to discussion the eligible faculty strongly supports, leans toward, leans against or strongly opposes tenure and/or promotion.

m. 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 made a permanent part of the candidate's dossier.

n. 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 Departmental eligible faculty and Chair will have an opportunity to respond in writing to the candidate's comments.

o. 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 Chair of the faculty member's Department and inform the candidate of his or her recommendation. These letters become part of the candidate's dossier, and are advisory only.

p. The procedures for promotion of research and clinical 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 clinical faculty.

q. 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. However, 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). For faculty hired who have already achieved tenure or have already been promoted to professor at another institution, the Committee of Eligible Faculty has the option of doing a more streamlined review. For example, an individual's scholarly profile might be so outstanding that the committee would decide to accept the formal review process conducted at that institution, especially if the institution is a peer or better university. Nonetheless, 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. Conducting a more streamlined review requires a majority vote of the eligible faculty (i.e., all tenured faculty in the case of appointment as a tenured Associate Professor, or all tenured professors in the case of appointment as a tenured Professor).

3. Department Promotion and Tenure Documentation:

a. General: The promotion and tenure review focuses on the "core dossier" as defined by the Office of Academic Affairs (OAA). This dossier is prepared by the candidate in the format specified by OAA. Candidates will be provided by the Chair and well in advance of the semester during which the formal review will be conducted 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.

b. 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.

i. Student evaluation: OAA requires each department to have a single method that all faculty use 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.

ii. Peer Review: All probationary and Associate Professors shall provide to the designated staff person each semester the course syllabi for each classroom course that they teach (this is also required of all faculty). For fourth year, tenure, and promotion reviews, information on 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 are required. Peer review of teaching is also required as explained further in Section X.

c. Research: Documentation for an evaluation of a candidate's research performance includes information on 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 (as noted above), and the candidate's publications are examined.

d. Service: Documentation for an evaluation of a candidate's service activities includes information on 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.

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

VIII. 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 and therefore alleges that it was made improperly, the candidate may appeal that decision. Procedures for appealing a decision based on an allegation of improper evaluation are described in rule [3335-5-05](#) of the Administrative Code.

IX. 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 review. The text of the rule follows:

Seventh year reviews. Every effort should be made to consider new information about a candidate's performance before a final decision is made if the new information becomes available before a decision is rendered. In rare instances, a tenure initiating unit may petition the dean to conduct a seventh year review for an assistant professor who has been denied promotion and tenure. Both the eligible faculty of the unit and the chair must approve proceeding with a petition for a seventh year review. The petition must provide documentation of substantial new information regarding the candidate's performance that is germane to the reasons for the original negative decision. Petitions for seventh year reviews must be initiated before the beginning of the last year of employment because the seventh year review, if approved, would take place during the regular university review cycle of the assistant professor's seventh and last year of employment.

b. If the Dean concurs with the tenure initiating unit's petition, the Dean shall in turn petition the Executive Vice President and Provost for permission to conduct a seventh year review. If the Executive Vice President and Provost approves the request, a new review will be conducted equivalent to the one that resulted in the nonrenewal of the appointment. The conduct of a seventh year review does not presume a positive outcome. In addition, should the new review result in a negative decision, the faculty member's last day of employment is that stated in the letter of non-renewal issued following the original negative decision.

c. A faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by his or her tenure initiating unit, or appeal a negative decision following a seventh year review, since the faculty member has already been notified that tenure has been denied at the conclusion of the sixth year review.

X. Procedures for Student and Peer Evaluation of Teaching

A. Student Evaluation of Teaching

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

B. Peer Evaluation of Teaching

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. Assistant Professors being considered for tenure must have a total of five peer reviews and so should also have one peer review completed in the first two years of service. For the Columbus campus, the evaluation of teaching will be done as part of a mentorship in teaching skills/practices. Evaluations/mentoring will be conducted by members of the Department's Teaching Excellence Committee (a new committee comprised of members of the Department that have won prestigious teaching awards at the level of the Department, College, or University). All efforts will be made to assign the same two evaluators/mentors to a particular candidate over the years of probationary period and review. Junior tenure-track faculty will be evaluated by both mentors in the classroom each year of their probationary period. A letter of evaluation will be submitted to the Vice Chair for Faculty and Staff Evaluations as well as to the Chair of the P&T Committee. The mentors will meet with the junior faculty member each year to review the substance of the evaluative letters. Regional campus faculty are responsible for providing the 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.