

The Department of Educational Studies
Appointments, Promotion, and Tenure Document
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1 PREAMBLE

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu>); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook (<http://oaa.osu.edu/handbook.html>); 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 or 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 may be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and for faculty promotion, tenure, and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (<http://trustees.osu.edu>) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

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

2 DEPARTMENT MISSION

The Department of Educational Studies defines its mission as the advancement of scholarship, instruction, and service in scholarly disciplines in education that contribute to the formation of sound policy, effective leadership, and the delivery of professional services at educational, private, and community institutions in all settings and at all levels.

The department is collectively committed to a balance of scholarship and teaching that leads to the dissemination of the knowledge. The Department of Educational Studies is concerned with both theoretical and practical objects of inquiry and draws upon social, scientific, and humanistic disciplines.

The department shares the mission and vision encompassed in the core values of the College of Education and Human Ecology: research, educating professionals, diversity and equity, collaboration, professional development, policy formation, technology, and honoring the land-grant mission. Although some of these values are more integral to the department's scholarship and teaching, all pertain to a proper definition of professional service in the university, the state and nation, and the world community.

In pursuit of these ends and values, the department strives to adhere to the democratic principles of equity and governance.

3 DEFINITIONS

3.1 Committee of the Eligible Faculty

3.1.1 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.

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

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

A subcommittee of the eligible faculty (Promotion and Tenure Subcommittee) will include at least five tenured faculty members elected by the tenure-track faculty. A majority of the subcommittee must be full professors and at least one member must be an associate professor.

3.2 Clinical Faculty in Educational Studies

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.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the department and all nonprobationary clinical faculty of higher rank 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.

3.3 Conflict of Interest

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

3.4 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.

3.5 Promotion and Tenure Subcommittee

The department has a Promotion and Tenure Subcommittee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues.

A majority of the subcommittee members must be full professors and at least one member must be an associate professor. Subcommittee members are elected by nominations from the faculty at large, consistent with university and college rules. A full professor alternate and an associate professor alternate shall also be elected. A chair will be elected by subcommittee members annually; the chair must be a professor. The term of service on the subcommittee is three years on a rotating basis. Members can be reappointed after two years.

When considering cases involving clinical faculty, the Promotion and Tenure Committee subcommittee may be augmented by two nonprobationary clinical faculty members.

3.6 Quorum

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the department chair has approved an off-campus assignment. Faculty may participate virtually only with documentation of approved leave or university business; faculty on an approved leave are not required to participate. Regional campus faculty may participate virtually.

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

3.7 Recommendation from the Committee of the Eligible Faculty

In all votes taken on personnel matters only “yes” or “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.

3.7.1 Appointment

The search committee for new hires serves as the screening committee for the faculty. Faculty input on the qualifications of candidates is received by the search committee following colloquia given by the candidates and from interviews the candidates have with individuals and groups. The committee makes recommendations on the acceptability of the candidates' qualifications to the department chair on behalf on the faculty.

3.7.2 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 by faculty eligible

to vote are positive, excluding abstentions. The return of a ballot without a vote or not returning a ballot is an abstention.

3.7.3 Faculty Votes on Promotion and Tenure Decisions

Upon completion of the review of candidates for promotion or promotion and tenure, the eligible faculty shall vote by anonymous, written ballot. Faculty members are encouraged, but not required, to include written justification for their votes. A justification is not required for the vote to be counted.

A meeting of the eligible faculty to discuss the cases of faculty seeking promotion or promotion with tenure must be held prior to the vote.

4 APPOINTMENTS

4.1 Criteria

The department seeks international distinction in education, scholarship, and public service. Consequently, the department shall make every effort to employ faculty members who can help meet this standard.

The department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the department. Important considerations include the individual's record in teaching, scholarship and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the department.

4.1.1 Tenure-Track Faculty

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

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

Assistant Professor. An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the department and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. The granting of prior service credit requires

approval of the Office of Academic Affairs, may reduce the length of the probationary period, and cannot be revoked once granted.

The candidate's credentials should satisfy the criteria for an appointment as a "P" category member of the graduate faculty, or the candidate should indicate potential for obtaining an appointment as a "P" category member of the graduate faculty. Regardless of whether the faculty member is designated as a category "M" or "P" member of the graduate faculty, appropriate advisement and the mentoring of the new faculty member should take place so the new faculty member becomes competent in the duties associated with the appropriate designation. Application for either "M" or "P" status is made to the Graduate School through the Graduate Studies Committee.

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

The candidate's credentials should satisfy the criteria for an appointment as a "P" category member of the graduate faculty, except for regional campus faculty.

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

4.1.2 Tenure-Track Faculty—Regional Campus

The mission of the regional campuses emphasizes undergraduate instruction; therefore, teaching experience and the quality of instruction are given greater emphasis than for Columbus campus appointments. Given this greater emphasis on undergraduate teaching at the regional campuses, regional campus faculty are not expected to produce the same quantity of research as Columbus campus faculty; however, all research should be of comparable quality. Regional campus faculty may satisfy the criteria for "P" category status, but this is not a requirement. All regional faculty candidate's credentials should satisfy the criteria for appointment as an "M" category member of the graduate faculty.

4.1.3 Clinical Faculty

The percentage of clinical faculty for the College of Education and Human Ecology shall not exceed the 20% limit (University Rule 3335-7-03, <http://trustees.osu.edu>). Tenure is not granted to clinical faculty. Clinical faculty can be appointed at the Instructor, Assistant, Associate, or Professor level. Appointments at the rank of associate professor or professor require prior approval by the college dean and the Office of Academic Affairs.

Clinical faculty members will be appointed generally for an initial term of three to five years on a probationary basis, as specified by University Rule 3335-7-07 (<http://trustees.osu.edu>). The clinical faculty member shall be notified at the end of each year of the probationary period whether he/she will be reappointed for the following year. 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 (see Faculty Rule 3335-7, <http://trustees.osu.edu>). By the end of that year, the clinical faculty member shall be notified whether a new contract will be offered. In the event that a new contract is not extended, the final year of the probationary 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.

After the completion of the probationary three to five year contract, the clinical faculty member may be reappointed for an additional three, four, or five years, at the discretion of the dean. These extended appointments are not probationary, and the individual may only be terminated for cause (see Faculty Rule 3335-5-04, <http://trustees.osu.edu>) or financial exigency (see Faculty Rule 3335-5-02.1, <http://trustees.osu.edu>).

Clinical Instructor. Appointment is normally made at the rank of Clinical Instructor when the appointee has not completed the requirements for the terminal degree or has not obtained the required licensure/certification at the time of appointment. 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 instructor has not completed the requirements for promotion to the rank of clinical assistant professor by the beginning 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.

Clinical Assistant Professor. A terminal degree and/or appropriate credentials demonstrating relevant expertise in the field of study, and extensive experience in the workplace are the minimum requirements for the rank of Clinical Assistant Professor. Evidence of potential for high quality teaching and high quality service to the profession is highly desirable.

Criteria for appointment as a Clinical Assistant Professor:

- A terminal degree and/or appropriate credentials demonstrating expertise in the field of study.
- Evidence of current clinical experience appropriate to the teaching and service role expected within the unit of hire (minimum of five years).
- Evidence of current knowledge of research impacting practice with the field of study.

Clinical Associate Professor. The awarding of the rank of Clinical Associate Professor must be based on convincing evidence that the clinical faculty member has achieved excellence as a teacher, and as one who provides effective service; and can be expected to continue a program of high quality teaching and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university (see Faculty Rule 3335-6-02(C), <http://trustees.osu.edu>).

Criteria for appointment as, or promotion to, a Clinical Associate Professor:

- A terminal degree in relevant field of study.
- Current professional credentials demonstrating expertise in the field of study (if appropriate).
- Evidence of current knowledge of research impacting practice with the field of study.
- Evidence of ongoing engagement with practitioners in relevant context.
- Evidence of sustained high-quality teaching.
- Evidence of high-quality and impactful service both within and outside of the university.

Clinical Professor. The awarding of the rank of Clinical Professor of Educational Studies must be based on convincing evidence that the clinical faculty member has a sustained record of excellence in teaching and has demonstrated leadership in service at the local and national level (see Faculty Rule 335-6-02(C), <http://trustees.osu.edu>).

Criteria for appointment as, or promotion to, a Clinical Professor:

- An earned Doctoral degree in relevant field of study.
- Current professional credentials demonstrating expertise in the field of study (if appropriate).
- Evidence of current knowledge of research impacting practice with the field of study.
- Evidence of ongoing engagement with practitioners in relevant context.
- Evidence of sustained high-quality teaching.
- Evidence of high-quality and impactful service both within and outside of the university.
- Evidence of high-quality and impactful service at a local, state, and/or national level.

Transfer from the Tenure-Track. Tenure-track faculty may transfer to a clinical appointment if appropriate circumstances exist. A unit that permits transfers must abide by the following:

- 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;
- When a tenured faculty member transfers to the clinical faculty, tenure is lost; and
- All transfers must be approved by the department chair, the college dean, and the executive vice president and provost.

Per Faculty Rule 3335-7-10 (<http://trustees.osu.edu>), transfers from a clinical appointment to the tenure-track are not permitted. Clinical faculty may apply for tenure-track positions and compete in regular national searches for such positions.

4.1.4 Associated Faculty

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

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments are rarely compensated. 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.

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.

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.

Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1–49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

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

4.1.5 Courtesy Appointments

Courtesy appointments (0% FTE) may be made by the chair on recommendation of program faculty. Appointments of a faculty member from another department at Ohio State may be renewed periodically by the chair. Appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

4.2 Search and Appointment Procedures

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

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

4.2.1 Tenure-Track Faculty Search

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in the most recent update of A Guide to Effective Searches (www.hr.osu.edu/hrpubs/guidesearches.pdf).

Searches for tenure-track faculty proceed as follows:

- The dean of the college provides approval for the department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

- The department chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department.

The search committee ...

- Appoints a diversity advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Completes an implicit bias training as per the Office of Academic Affairs Policy and Procedures Handbook (<http://oaa.osu.edu/handbook.html>).
- Develops a search announcement for internal posting in the university personnel postings through the Office of Human Resources Employment Services (www.hr.osu.edu/) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, and salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date to allow consideration of any applications that arrive before the conclusion of the search.
- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print (as opposed to on-line) advertisement appears in a location likely to be read by qualified potential applicants. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific nationally circulated professional journal.
- Screens applications and letters of recommendation and presents to the department chair a summary of those applicants (usually three to five) judged worthy of interview. If the chair agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the department office. If the chair does not agree, he or she determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee, graduate students, the department chair, and the dean or the dean's designee. In addition, all candidates must make a presentation to the faculty and graduate students on their scholarship, and may be requested to teach a class by the search committee. The latter could be an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format.

Prior to a campus interview, the agenda for the candidate's visit is shared with the department faculty. Department faculty are invited to attend all research and teaching presentations, and they have other opportunities to interact with the candidate. Following each opportunity to engage with a candidate, faculty are asked to provide feedback through the use of feedback forms. These feedback forms will be given to the search committee chair at the end of each candidate's campus visit.

Following completion of on-campus interviews, the search committee meets to discuss perceptions and preferences and to indicate if each candidate is acceptable. The search committee reports its recommendation on each candidate to the department chair.

In the event that more than one candidate is supported by the committee and the chair, the department chair discusses with the dean which candidate to approach first and the details of the offer, including compensation, service credit, and rank.

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs. The university does not grant tenure in the absence of permanent residency status.

4.2.2 Tenure-Track Faculty—Regional Campus

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

Candidates are interviewed by, at a minimum, the regional campus dean, the Columbus campus department chair, eligible department faculty, and the regional campus search committee. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the Columbus campus 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 both the Columbus campus department chair and the regional campus dean.

4.2.3 Clinical Faculty

Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview is on clinical/professional practice rather than scholarship, and exceptions to a national search only require approval by the college dean.

4.2.4 Associated Faculty

The appointment, review, and reappointment of all compensated associated faculty are decided by the department chair in consultation with the appropriate program chair.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department and are decided by the department chair in consultation with the relevant program area faculty.

Compensated associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Visiting appointments may be made for one term of up to three years or on an annual basis for up to three consecutive years.

Lecturer and senior lecturer appointments are usually made on a semester by semester or annual basis. After the initial appointment, and if the department's curricular needs warrant it, a multiple year appointment may be offered.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not proceed to the college level if the department chair's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

4.2.5 Courtesy Appointments

Any department faculty member may propose a 0% FTE (courtesy) appointment for an individual from another Ohio State department. A proposal that describes the uncompensated academic service to this department justifying the appointment is provided to the department chair, who extends an offer of appointment. The department chair reviews all courtesy appointments at least once every three years in consultation with the program faculty.

5 ANNUAL REVIEW PROCEDURES

The department follows the requirements for annual reviews as set forth in the Faculty Annual Review Policy (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).

The annual reviews of every faculty member are based on expected performance in teaching, scholarship, and service as set forth in the department's policy on faculty duties and responsibilities, on any additional assignments and goals specific to the individual, and on progress toward promotion, if relevant.

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases and Other Rewards. This documentation must be submitted to the department chair no later than the final day of the calendar year. All annual review documents shall be reviewed by the Executive Committee, which is advisory to the chair. Committee members under review or who have a conflict of interest will recuse themselves. See the Pattern of Administration for specific requirements and procedures.

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

5.1 Probationary Tenure-Track Faculty

Every probationary tenure-track faculty member is reviewed annually by the department chair, with written input from the Promotion and Tenure Subcommittee and in consultation with the Executive Committee. The department chair and the Promotion and Tenure Subcommittee chair meet with the faculty member to discuss his or her performance, future plans, and goals. The department chair and the Promotion and Tenure Subcommittee prepare written evaluations that include a recommendation on whether to renew the probationary appointment.

If the chair recommends renewal of the appointment, this recommendation is final, pending review by the dean. The chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The Promotion and Tenure Subcommittee's letter and the chair's letter (along with the faculty member's comments, if submitted) are forwarded to the dean of the college. In addition, the annual review letters become

part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if submitted).

If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-04, <http://trustees.osu.edusubcommi>) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

5.1.1 Regional Campus Faculty

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

5.1.2 Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

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

The eligible faculty conducts a review of the candidate, and the Promotion and Tenure Subcommittee will write a review letter. On completion of the review, the eligible faculty votes by anonymous, written ballot, which will include written justification for the faculty member's vote, on whether to renew the probationary appointment. A justification is not required for the vote to be counted; all votes will be counted.

The eligible faculty forwards a record of the vote and the Promotion and Tenure Subcommittee letter to the department chair. The department chair conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04, <http://trustees.osu.edu>) is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal.

5.1.3 Exclusion of Time from Probationary Period

Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu>), sets forth the conditions under which a probationary tenure-track faculty member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/handbook.html>).

5.2 Tenured Faculty

All tenured faculty are reviewed annually by the Executive Committee. In the case where a member of the Executive Committee has a conflict of interest with the person being reviewed, they will recuse themselves from the review and leave the room during the discussion. Members of the Executive Committee will be reviewed by the other members of the committee. As each committee member's case is reviewed, the person being reviewed will leave the room during the discussion. The Executive Committee advises the department chair on each faculty member's performance in teaching, research, and service, based on the faculty member's assigned duties. The department chair prepares the final assessment, incorporating the feedback from the committee and the associate chair, who serves as an ex officio member of the committee. The chair and/or the associate chair meet with the faculty member to discuss the faculty member's performance and future plans and goals. The faculty member may provide a written response to the review.

5.3 Tenured Faculty—Regional Campus

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

5.4 Clinical Faculty

The annual review process for clinical probationary and nonprobationary faculty is identical to that for tenure-track probationary and tenured faculty, respectively.

In the penultimate contract year of a clinical faculty member's appointment, the dean, in consultation with the department chair, determines whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu>) must be observed.

If the position will 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.

5.5 Associated Faculty

The annual review process for compensated associated faculty is identical to that for tenured faculty.

6 MERIT SALARY INCREASES AND OTHER REWARDS

In accordance with the concept of shared-governance, the Department of Educational Studies will use a committee structure working in concert with the department chair to make recommendations for faculty salary increases. Recommendations for salary increases are made

by the chair to the dean. The achievement of excellence in teaching, research, and service with impact is the primary measure of success in the compensation strategy of the college. Principles for faculty and staff compensation are also contained in annual statements issued by the college. In the case of family medical leaves, annual evaluations will conform to university guidelines concerning salary increases.

6.1 Criteria

Except when the university dictates any type of across-the-board salary increase, all funds for annual salary increases are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable. Specifically, an assistant professor is expected to meet criteria that are consistent with eventual advancement to the rank of associate professor. An associate professor is expected to meet criteria that are consistent with eventual advancement to the rank of professor. And, professors are expected to sustain the record that resulted in promotion. Associate and full professors are expected to contribute equitably in department, college, and university service. The quality of teaching, scholarship, and service rendered in achieving goals consistent with the mission of the department shall be taken into account when assessing performance and the awarding of merit salary increases.

Meritorious performance in teaching, scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be primarily the past year with attention to patterns of increasing or declining productivity over the last three years. Merit increases will be commensurate with performance in teaching, research, and service. It should be emphasized, however, that the evaluation of faculty for tenure is based primarily upon scholarly productivity, which includes not only the number of scholarly works, but also factors such as the impact of scholarship on the field and coherence of a research program. Consequently, a series of satisfactory annual reviews does not necessarily imply a successful review for tenure.

Evaluation of teaching depends on reports of student evaluations, indicators of academic quality of the teaching, and generation of credit hours. The department has a separate “Peer Review of Teaching” document that will serve as a basis for providing additional information about the evaluation of teaching. Faculty are encouraged to generate additional information above and beyond SEIs to evaluate their teaching. Such additional information should be included in the annual evaluations of teaching in the annual review materials.

In research, faculty are expected to present evidence of sustained productivity. Because the department’s mission is broad in scope, a wide range of research is recognized. Work published in peer-reviewed outlets is of primary importance, and such work should be consistently pursued by faculty. However, evaluations of research will acknowledge that larger-scale projects, such as major grant proposals, large book-projects, and other large-scale projects, may understandably affect the ability to produce peer-reviewed work during a period of time. In translating performance review into salary increases the department chair will attempt to consider both levels of performance and equity of distribution in view of market salaries or salaries of other individuals in the employing unit with similar duties.

Service to the department includes not only the traditional forms of committee work for the department, college, university, and profession, but also entrepreneurial activity, such as

arranging an external contract, applying for service-related grants, instituting a new curricular program, and so forth.

On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize non-continuing contributions that justify reward but do not justify permanent salary increases. Such payments and rewards are considered at the time of annual salary recommendations.

Faculty who fail to submit the required documentation for an annual review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

6.2 Procedures

The executive committee will advise the chair on salary matters. The committee's primary role is to assess the annual activity reports (described above) submitted by individual faculty. The committee also may provide advice on procedural questions, as allowable under college and university procedural rules for the period of review.

Annual evaluation occurs during the spring semester, and the chair sends evaluation letters in May. Salary determinations are made after the dean announces the pool that will be available for annual raises. Salary increases for the subsequent fiscal year will go into effect as of September 1st, unless otherwise designated by the university. Evaluations for faculty on regional campuses are conducted by the executive committee and the chair, in consultation with the dean at the regional campus.

The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. In formulating recommendations, the department chair consults with the department executive committee. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate for each group.

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

To evaluate the performance of CCS and A&P staff, the department uses the college's Performance Management System. Once an incoming chair has articulated the organization of staff and their functions, performance goals are set based on the respective job descriptions, which constitute the criteria upon which performance is assessed. The chair works closely with the department HR specialist and the college HR manager to ensure that staff are placed suitably to their knowledge level and skills, and that staff are given the necessary training and support to perform effectively.

6.3 Documentation

The annual performance review of every faculty member requires that all documentation described below, including the two summary documents, be submitted to the department chair no later than the final day of the calendar year.

- updated Office of Academic Affairs dossier outline covering the last three calendar years, Volume 3 (<http://oaa.osu.edu/handbook.html>);
- a summary of the past year's activities and goals for the upcoming year;
- cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class taught;
- peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details provided in the department's peer review of teaching document);
- Other relevant documentation on teaching, research, and service, as appropriate.

The time period covered by the documentation is the previous three years with an emphasis on the past 12 months for teaching and service.

7 PROMOTION AND TENURE AND PROMOTION REVIEWS

7.1 Criteria

Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) provides the following context for promotion and tenure and promotion reviews:

In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

7.1.1 Promotion to Associate Professor with Tenure

Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) provides the following general criteria for promotion to associate professor with tenure:

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

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

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

Every candidate is held to a high standard of excellence in all aspects of performance. Poor performance in one area cannot be counterbalanced by excellent performance in another area. All judgments will be made within the context of the candidate's assigned responsibilities and consistent with the conditions of the appointment throughout the review period.

Excellence in teaching, scholarship, and service are 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>).

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

7.1.1.1 Teaching

For promotion to associate professor with tenure, a faculty member is expected to have high quality teaching. This may be evidenced by the faculty member having:

- Provided up-to-date content at an appropriate level and demonstrated continuing growth in subject matter knowledge.
- Demonstrated the ability to organize and present class material effectively.
- Demonstrated competence in the use of various modes of instruction.
- Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process.
- Provided appropriate and timely feedback to students throughout the instructional process.
- Treated students with respect and courtesy.
- Improved curriculum through revision or new development of courses and/or academic programs.
- Served as advisor or co-advisor to an appropriate number of graduate students given the department's graduate student to faculty ratio and the faculty member's area(s) of expertise. (See also the department POA for information on mentoring junior faculty.) Graduate advising is not an expectation for regional campus faculty.
- Served as advisor to undergraduate or licensure students, if appropriate.
- Served as a mentor to undergraduate and/or graduate students, when appropriate.
- Achieved "P" graduate faculty status, unless at a regional campus.
- Documented efforts to improve teaching.

7.1.1.2 Scholarship

For promotion to associate professor with tenure, a faculty member is expected to have published a body of work in high-quality venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be cited or otherwise shows evidence of influence on the work of others. Peer reviewed journals and books are primary, and other

scholarly works can contribute to the portfolio. The following attributes of the body of work are considered:

- Quality, impact, quantity.
- Original and independent contribution to a line of inquiry.
- Evidence of quality of the candidate's scholarship, based on discipline specific indicators (e.g., journal impact factors, citation rate, publication reputation). Archival journal publications, books, and monographs are weighted more heavily than conference proceedings, published scholarship more than unpublished scholarship, and original works more than edited works.
- Empirical (i.e., based on data), theoretical, methodological, and/or conceptual work are all considered part of the candidate's profile and should demonstrate the ability to conduct such work and to mentor future scholars. In all instances, superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion.
- Although collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment of individual contribution. Primary authorship is expected in cases where there are no sole authored publications.

In addition, candidates are strongly encouraged to demonstrate attempts to obtain research program funding.

- Evidence of quality of the candidate's grant contributions, based on discipline specific indicators, should be documented.
- Competitive peer-reviewed funding is weighted more favorably than other types, as it serves as a quality indicator of research programs.
- Grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done.
- Grant activities that result in publication are especially encouraged.

All candidates are expected to document the following:

- A developing national reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of citations in other researchers' publications.
- Articulation of how the candidate's scholarship demonstrates its relevance and alignment with the discipline, impact on the field, and potential for continued productivity.
- A high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of students, postdoctoral fellows, and collaborators.

7.1.1.3 Service

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

- The department (the contributions of regional campus faculty may be limited to their campuses);
- The profession, the university, and the community.

7.1.2 Promotion to Professor

Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) establishes the following general criteria for promotion to the rank of professor:

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

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national and international reputation in the field. The time frame of review shall begin from the date of the last promotion.

In addition, as further specified by Faculty Rule 3335-6-02 (<http://trustees.osu.edu>), assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another. Issues related to differential workload are addressed in the Pattern of Administration.

7.1.3 Regional Campus Faculty

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the department will give greater emphasis to the quality of teaching and service relative to scholarship. Recognizing that the character and quantity of scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the department nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

7.1.4 Clinical Faculty

Promotion to Clinical Associate Professor. For promotion to clinical associate professor, a clinical faculty member must show convincing evidence of excellence as a teacher and a provider of effective service, must have a documented high level of competence in professional practice, and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of the department. Specific criteria in teaching and service for promotion to clinical associate professor are similar to those for promotion to associate professor with tenure. Scholarship activity is not expected.

Promotion to Clinical Professor. For promotion to clinical professor, a clinical faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice and leadership in service to the department and to the profession.

7.2 Procedures

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) and the Office

Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the *Policies and Procedures Handbook* (<http://oaa.osu.edu/handbook.html>). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the department.

In all cases, the review procedure follows the university's and college's calendar and deadlines.

7.2.1 Candidate Responsibilities

Candidates are responsible for submitting a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. The department will provide a due-date for the completed dossier to be submitted. Occasionally it may be appropriate to amend the record when significant new information about items in the dossier becomes available; examples include acceptances of publications of works listed in progress; funding of grants listed as submitted; or contracts or patents that have received a license or other commercial activity. An amended record must be reviewed by all parties to the review process. Candidates should not sign the Promotion and Tenure/Promotion Dossier Checklist (see <http://oaa.osu.edu/forms.html>) without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including those highlighted on the checklist.

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

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed by the department chair and the Promotion and Tenure Subcommittee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. No more than one-half of the letters contained in the final dossier should be from persons suggested by the candidate. All solicited letters that are received must be included in the dossier. (Also see External Evaluations below and Faculty Rule 3335-6-04, <http://trustees.osu.edu>.)

Prior to the Beginning of Autumn Semester: The candidate will submit all materials needed for the review to the department chair.

7.2.2 Promotion and Tenure Subcommittee Responsibilities

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

- To review the APT document annually and to recommend revisions to the faculty, if warranted.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to provide feedback as to whether such a review should take place. Only professors on the committee may consider promotion review requests to the rank of professor. The subcommittee bases its feedback on assessment of the record as presented in the faculty member's dossier and on a determination of the availability of all required documentation for a full review, including student and peer evaluations of teaching.

- A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
- Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The subcommittee 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 will not be considered for promotion by the department.
- The feedback from the subcommittee in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
- **Late Spring Semester:** Selects from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the subcommittee. The Procedures Oversight Designee’s responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
- **Late Spring Semester:** Suggests names of external evaluators to the department chair.
- **Early Autumn Semester:** Reviews candidates’ dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements and works with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - Meets with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate’s record.
 - Drafts an analysis of the candidate’s performance in teaching, scholarship, and service to provide to the full eligible faculty with the dossier and seeks to clarify any inconsistent evidence in the case, where possible. The subcommittee neither votes on cases nor takes a position in presenting its analysis of the record.
 - Revises the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting and forwards the completed written evaluation and recommendation to the department chair.
 - Provides a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
 - Provides a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure initiating unit is in another department. The full eligible faculty does not vote on these cases as the department’s recommendation must be provided to the other tenure initiating unit substantially earlier than the Committee begins meeting on department cases.

7.2.3 Eligible Faculty Responsibilities

The responsibilities of the members of the eligible faculty are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance, to participate in discussion of every case, and to vote and provide justification for the vote.

7.2.4 Department Chair Responsibilities

The responsibilities of the department chair are as follows:

- When relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are not considered for promotion by the department.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Subcommittee, the department chair, and the candidate. (Also see External Evaluations, below.)
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted upon.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process of the:
 - recommendations by the eligible faculty and department chair,
 - availability for review of the written evaluations by the eligible faculty and department chair,
 - opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Subcommittee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units,

and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure initiating unit by the date requested.

7.2.5 Procedures for Regional Campus Faculty

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

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

7.2.6 External Evaluations

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical faculty members unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical faculty member will be made by the department chair after consulting with the candidate and the chair of the Promotion and Tenure Subcommittee.

Materials sent to the external reviewers must include, at a minimum, a curriculum vitae, five publications, and a research statement. Materials should be submitted from the date of hire or last promotion, whichever is most recent; however, it is acceptable to use an earlier date if it is germane to the evaluation. Candidates should consult the department chair and the chair of the Promotion and Tenure Subcommittee to make this determination.

A minimum of five credible and useful evaluations must be obtained. No more than half can be recommended by the candidate. A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) and who is not a close personal friend, research collaborator, or former academic advisor or postdoctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. The department will make every effort solicit evaluations from tenured faculty at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, the chair shall make every effort to ensure that the majority of the evaluations come from full professors. In the case of an associate professor seeking promotion to full professor, all evaluations must come from full professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

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

than the end of the spring semester prior to the review year. This timing allows additional letters to be requested, should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the chair with input from the Promotion and Tenure Subcommittee, the department chair, and the candidate. Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write a letter, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

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

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

7.3 Documentation

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline prior to the beginning of autumn semester to the department chair. Although the Promotion and Tenure Subcommittee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

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

- Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication or acceptance for publication. An author's manuscript alone does not document publication.
- Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

Materials should be submitted from the date of hire or last promotion, whichever is most recent. For tenured or nonprobationary faculty, it is the date of last promotion or the last five years, whichever is most recent. However, it is acceptable to use an earlier date if it is germane to the

evaluation. Candidates should consult the department chair and the chair of the Promotion and Tenure Subcommittee to make this determination.

7.3.1 Teaching

Materials submitted should include:

- Class specific and cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class for which they are available.
- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (see the department's peer review of teaching document).
- Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- Teaching activities as listed in the core dossier may include:
 - involvement in graduate/professional exams, theses, dissertations, and undergraduate research,
 - mentoring postdoctoral scholars and researchers,
 - extension and continuing education instruction,
 - involvement in curriculum development,
 - awards and formal recognition of teaching,
 - presentations on pedagogy and teaching at national and international conferences,
 - adoption of teaching materials at other colleges or universities,
 - other relevant documentation of teaching as appropriate.

7.3.2 Scholarship

Materials submitted should include the following:

- Citations for all books, articles, and scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- Citations of grants and contracts submitted.
- Lists of creative works pertinent to the candidate's professional focus such as artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites.
- Lists of inventions, patents, disclosures, options, and commercial licenses.
- Lists of prizes and awards for research, scholarly, or creative work.
- The same materials sent to the external reviewers shall be made available to the eligible faculty.
- Other published works should be available upon request.

7.3.3 Service

Materials submitted should include a list of the following:

- Involvement with professional journals, professional societies, and funding agencies.
- Consultation activity with industry, education, or government.

- Uncompensated clinical services.
- Administrative service to department.
- Administrative service to college.
- Administrative service to university and student life.
- Advising to student groups and organizations.
- Awards and prizes for service to profession, university, or department.
- Documentation (e.g., letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier.

7.4 Appeals

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

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

8 SEVENTH-YEAR REVIEWS

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

9 PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

Periodic peer evaluation of teaching is required for faculty at all ranks.

9.1 Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in the department. Faculty should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

9.2 Peer Evaluation of Teaching

It is an expectation that all tenured faculty will serve as peer reviewers. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible. Each year, the associate chair will contact probationary faculty to coordinate the assignment of a peer reviewer. Non-probationary faculty who would like to have a peer review conducted should contact the associate chair.

The responsibilities of the tenured departmental faculty are as follows:

- To review the teaching of probationary tenure-track and clinical faculty at least once per year during the probationary period.
- To review the teaching of associate professors at least twice by the time they seek promotion to full professor.
- To review the teaching of full professors as requested by the department chair.
- To review the teaching of any faculty member not currently scheduled for review, upon the department chair's request. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Assistant professors may conduct these reviews. Faculty seeking formative reviews should also seek the services of the University Center for the Advancement of Teaching (www.ucat.osu.edu).

Reviews conducted upon the request of the department chair or the faculty member focus on the specific aspects of instruction requested by the chair or faculty member.

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

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

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