

# APPOINTMENTS, PROMOTION AND TENURE

## Criteria, Policies, and Procedures

### **School of Physical Activity & Educational Services (PAES)**

College of Education and Human Ecology

- (a) Originally adopted by the School in March, 1997*  
*Approved by the College March, 1998*  
*Approved by OAA, December, 1998*
- (b) Re-approved as modified by the PAES faculty in February, 2001*  
*Approved by OAA, May, 2001*  
*Reapproved as modified by the faculty in February, 2009*  
*Approved by OAA, March, 2009*

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## I. PREAMBLE

This document is a supplement to Chapter 6 of the Rules of the University Faculty (Additional Rules Concerning Tenure Track Faculty Appointments, Reappointments, Promotion and Tenure ([www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php)); the Office of Academic Affairs annually updated procedural guidelines for promotion and tenure reviews in Chapter 7 of the Office of Academic Affairs Policy and Procedures Handbook ([http://oaa.osu.edu/OAAP\\_PHandbook.php](http://oaa.osu.edu/OAAP_PHandbook.php)); and other policies established by the college and the university to which the School of PAES and its faculty are subject.

Should those rules and policies change, the School of PAES shall follow those 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 appointment or reappointment of the school director.

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 school's mission and, in the context of that mission, 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 of the college and the Office of Academic Affairs accept the mission and criteria of the school and delegate to the school the responsibility to apply high standards in evaluating continuing faculty and candidates for positions in relation to the school's mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 ([www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php)) 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 ([www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php)) and other standards specific to the School of PAES and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty. The specifics of Faculty Rule 3335-6-01 include:

*“(A) 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.*

*(B) In accordance with a policy of equality of opportunity, decisions concerning appointment, reappointment, and promotion and tenure shall be free of discrimination as to race, creed, religion, national origin, age, sex, disability, Vietnam-era veteran status, or sexual orientation.”*

## II. SCHOOL MISSION

In support of the mission and core values of the College of Education and Human Ecology, the mission of the School of Physical Activity and Educational Services (PAES) is: to describe and explain basic and applied phenomena associated with teaching and learning, focused especially on those who participate in sport and exercise, those who have special needs, those who supply educational services, and those who pursue lifelong learning and learning in the work force;

To prepare exceptional professionals and scholars who will serve as researchers, instructors, curriculum designers, managers, administrators, and counselors in the areas of sport and exercise, special education, counselor education, school psychology, workforce development and lifelong learning in schools and universities, governmental agencies, community settings, and the workplace; to provide appropriate services to university, local, state, national, and international communities, especially including scholarly and professional societies.

### Implications of the Mission

Although the preparation of educational leaders is of critical importance in the mission of the school, the generation of knowledge that will contribute to that preparation and the application of scholarly and professional expertise in service to the section, school, college, and university, to academic and professional societies, and to local, state, national, and international communities is also essential to fulfilling the mission. The primary assignment for certain faculty members in the school may address the teaching, scholarship, or service functions of the mission. Finally, to provide the highest quality of teaching, scholarship, and service, the school will strive to continuously improve the quality of its endeavors.

## III. APPOINTMENTS

A normal appointment is for an academic year or three quarters. To best achieve the mission of the school, the three quarters of "duty" are determined by the faculty member in collaboration with the director.

To be appointed to either a compensated or no-salary auxiliary faculty rank, a candidate must provide evidence that he or she has the potential to make a substantial contribution to one or more aspects of the mission of the school. Examples of evidence demonstrating this potential include documentation of an appropriate educational background, scholarly presentations and publications, appropriate and successful teaching and/or research and/or service experience, and letters of support from appropriate referees. In particular, appointees to the ranks of adjunct or visiting instructors, assistant professors, associate professors, and full professors shall meet the criteria for appointment to the corresponding regular faculty ranks.

### A. Criteria

The school is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the school. Important considerations include the individual's record to date in teaching, research 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 school. 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 school. The search is either cancelled or continued, as appropriate to the circumstances.

As part of its mission as stated in Faculty Rule 3335-6-02 (A), The Ohio State University seeks "*the attainment of international distinction in education, scholarship, and public service.*" Consequently, the school of PAES shall make every effort to employ faculty members who can help meet this standard.

## 1. **Regular Tenure Track Faculty**

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

According to Faculty Rule 3335-6-03 (B) (1): *An appointment to the rank of instructor is always probationary and may not exceed three years. An instructor must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year. When an instructor is promoted to the rank of assistant professor, prior service credit will be granted for time spent as an instructor unless the faculty member indicates in writing at the time of the promotion that he or she does not wish such credit. This written request must be forwarded to the office of academic affairs through the dean of the college so that tenure records may be adjusted accordingly.*

**Assistant Professor.** An earned doctorate is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high quality teaching, and high-quality service to the school and 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. Review for tenure prior to the mandatory review year is possible when the Personnel Committee and School Director determine such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it 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. The PAES Graduate Handbook should be consulted concerning the criteria for appointment to this graduate faculty status. 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.

According to Faculty Rule 3335-6-03 (B) (1): *An appointment to the rank of assistant professor is always probationary and may not exceed six years, including prior service credit. An assistant professor is reviewed for promotion and tenure no later than the sixth year of appointment as an assistant professor and informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year.*

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

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

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

According to Faculty Rule 3335-6-03 (B) (1): *An appointment as professor or associate professor will generally entail tenure. However, a probationary period not to exceed four years may be granted by the office of academic affairs upon petition of the tenure initiating unit (i.e., the school) and college. For the*

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*petition to be approved a compelling rationale must be provided to explain why appointment at a senior rank is appropriate but tenure is not. (A lack of academic experience is the most common reason.)* All appointments to the rank of associate professor or professor require prior approval of the executive vice president and provost.

## **2. Regular Tenure Track Faculty – Regional Campus**

As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria for appointment at the rank of assistant professor, associate professor, or professor are similar to those for Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and quality.

## **3. Auxiliary Faculty**

Auxiliary faculty appointments are made for no more than one year at a time and thus require formal annual renewal if the appointment is to be continued.

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments are never compensated. Adjunct faculty appointments are given to individuals who volunteer considerable uncompensated academic service to the school, such as teaching a course, for which a faculty title is appropriate. Adjunct faculty rank is determined by applying the criteria for appointment of regular tenure track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular tenure track faculty. In the event the school wishes to compensate an adjunct faculty member for work other than the voluntary service for which the adjunct title is provided, a concurrent appointment of limited duration (lecturer, workshop leader) may be added for that purpose.

**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 or promotion.

**Senior Lecturer.** Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion.

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

**Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.** Visiting faculty appointments may either be compensated or uncompensated. Visiting faculty members on leave from a regular academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non regular faculty) individuals are appointed is determined by applying the criteria for appointment of regular 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.

To be reappointed to a compensated or no-salary auxiliary faculty rank, a candidate must provide evidence of having made a substantial and appropriate contribution to the mission of the school. Examples of such evidence may include positive reviews of classroom teaching or supervision, letters of support from PAES collaborators on research projects, and evidence of contributions to service initiatives of the school. The decision to reappoint is made by the director after consultation with those faculty and others believed most knowledgeable about the candidate's performance and the need for further services by the candidate.

#### **4. *Courtesy Appointments For Regular Faculty***

Occasionally the active academic involvement in the School of PAES by a regular faculty member from another department or school at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in the School of PAES. Appropriate active involvement includes research collaboration, graduate student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized. Courtesy appointments do not require formal annual renewal, but all such appointments will be reviewed every four years.

A candidate for a courtesy appointment must provide evidence of potential to contribute substantially to one or more aspects of the mission of the school. Evidence of this potential will usually include a curriculum vitae of the candidate, a letter of support from one or more section heads, and a letter of support from the Graduate Studies Committee as appropriate.

### **B. Procedures**

The appointment procedures for employing tenure-track faculty shall be consistent with the most current procedures established by the Office of Academic Affairs [http://oaa.osu.edu/OAAP\\_PHandbook.php](http://oaa.osu.edu/OAAP_PHandbook.php) and the college.

#### **1. *Tenure Track Faculty***

Searches for tenure track faculty proceed as follows:

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 requested from the Office of Academic Affairs. 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](http://www.hr.osu.edu/hrpubs/guidesearches.pdf)).

The dean of the college provides approval for the school 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 school director 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 school.

The director has primary responsibility to see that searches are conducted with high standards and with appropriate effort toward the quality and diversity goals of the college. After consultation with search committee, the director will recommend a candidate to hire to the dean. The dean will make the job offer and will negotiate salary.

The search committee:

Works with the school director to appoint a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.

Develops a search announcement for internal posting in the university Personnel Postings (formerly known as the "green sheet") through the Office of Human Resources Employment Services ([www.hr.osu.edu/](http://www.hr.osu.edu/)) and external advertising, subject to the school director'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, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.

Develops and implements a plan for external advertising and direct solicitation of nominations and applications. 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

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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 print journal.

Screens applications and letters of recommendation and develops a summary of those applicants judged worthy of interview. Following this process, the search committee then determines which applicants to invite to campus for interviews and submits the recommendations to the school director, who in turn works with the Dean for final approval of on-campus interviews. The on-campus interviews are arranged by the search committee chair in consultation with the director's office. If the search committee does not agree, the school director will work with the search committee to determine 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 school director; and the dean or designee. Interviews shall include a scholarly presentation and candidates must also show competence in teaching. Candidates may deliver a teaching presentation at the time of the visit or provide evidence of quality instruction (e.g., previously developed video or webcast of an actual teaching session or archived website). All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the search committee meets to discuss perceptions and preferences. The search committee will establish a formal mechanism whereby faculty, students, and staff (as appropriate) can provide advice to the search committee and to the school director concerning the perceived merits of the candidates who were interviewed. The search committee forwards recommendations to the school director. The recommendations include the strengths and weaknesses of each candidate. After consultation with search committee, the director will recommend a candidate to hire to the dean. The dean makes the final decision and will make the job offer and will negotiate salary.

If the offer involves senior rank, the eligible voting faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. In both instances, two-thirds of the eligible faculty must vote yes or no, and of those votes two-thirds must be positive for the senior rank or prior service credit to be approved.

### **C. Review Process for Faculty Hired at the Associate Professor and Professor Levels**

There are occasions when new faculty will be hired at the rank of associate professor or professor. Individuals hired at the rank of associate professor may be granted tenure with their appointment. Individuals hired at the rank of professor are usually granted tenure. For individuals not granted tenure, the tenure review process will be conducted at the time specified in the letter of offer. For individuals considered for granted tenure as part of their letter of offer, an expedited tenure review will occur that follows the same criteria and university procedures of all promotion and tenure reviews. Only associate/full professors with tenure will vote on the tenure review of associate professors and professors.

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

OAA will not approve letters of offer dated on or after May 1 to faculty holding a tenure track appointment at another AAU institution unless the letter is accompanied by evidence that the other institution has granted such permission.

### **1. Tenure Track Faculty – Regional Campus**

The School Director and the Regional Campus Dean/Director shall agree on a single search committee consisting of faculty members from both campuses. The search process shall proceed in the same manner as main campus searches. Candidates will be evaluated on both the Regional and Columbus campuses.

### **2. Auxiliary Faculty**

The school director will initiate appointment of all compensated auxiliary faculty after consultation with section head(s), faculty, and/or staff members as appropriate and after obtaining suitable evidence that the candidate has the potential to make the appropriate contribution(s) to the mission of the school.

The school director will initiate annually, renewal of appointments of auxiliary faculty after consultation with section head(s), faculty, staff members and/or students as appropriate.

Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. The proposal is considered at a regular faculty meeting and if approved by the faculty, the school director extends an offer.

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

Auxiliary faculty for whom promotion is a possibility follow the promotion guidelines and procedures for regular faculty (see APPOINTMENT CRITERIA above), with the exception that the review does not proceed to the college level if the school director's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

### **3. Courtesy Appointments For Regular Faculty**

Any school faculty member may propose a 0% FTE (courtesy) appointment for a regular faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to this school justifying the appointment is considered by the program area faculty, section head, and school director. The proposal will include suitable evidence that the candidate has the potential to make the appropriate contribution(s) to the mission of the school. This evidence will typically include a letter from the candidate requesting such an appointment, current curriculum vitae, and a letter of support from one or more section heads. If the proposal is approved by the program area faculty, section head, and school director, the school director extends an offer of appointment. The school director reviews all courtesy appointments annually to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

### **4. Notice Of Non-Renewal**

#### Regular Faculty Ranks

Insofar as possible the university will observe the following standards of notice (faculty rule 3335-6-08):

- No later than March 1 of the first academic year of probationary service if the appointment expires at the end of that year or, if a one-year appointment expires during an academic year, at least three months in advance of its expiration;
- No later than December 15 of the second academic year of probationary service if the appointment expires at the end of that year or, if an appointment expires during the second academic year, at least six months in advance of its expiration;
- At least 12 months before the expiration of an appointment after two or more years at OSU.

The above standards need not apply in cases of termination for cause.

### **5. Auxiliary Faculty Ranks**

Non-renewal decisions for auxiliary faculty members are made annually in accordance with policies, criteria and procedures of the school and the university.

## **IV. ANNUAL REVIEW PROCEDURES**

The school follows the requirements for annual reviews as set forth in Chapter 6 in the Office of Academic Affairs Policies and Procedures Handbook, [http://oaa.osu.edu/OAAP\\_PHandbook.php](http://oaa.osu.edu/OAAP_PHandbook.php).

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

### **A. Probationary Tenure-Track Faculty**

These procedures shall be consistent with the OSU Faculty Rules as well as with Office of Academic Affairs policies described in the *OAA Policies & Procedures Handbook* and policies of the College of Education and Human Ecology. Below is relevant material summarized from Faculty Rule 3335-6-03 (C) and modified for application to PAES faculty members.

*At the time of appointment, probationary faculty members shall be provided with all pertinent documents detailing tenure initiating unit, (i.e., school) college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided the address of the web-site that contains the information or with copies of the revised documents.*

*During a probationary period a faculty member shall be reviewed annually in accordance with this rule and with policies of the tenure initiating unit, college and university. The annual review should encompass the faculty member's performance and continuing development in teaching, in scholarship, and in service.*

To assist each probationary faculty member in achieving tenure and promotion, the director will appoint a PAES faculty member as a mentor. The mentor and the probationary faculty member will meet at regular intervals to review progress toward tenure and promotion. The mentor is an advisor, not an advocate. There will also be quarterly meetings of the group to discuss issues related to professional advancement. The college's associate dean for faculty and the dean will be informed of the dates of the meetings so they have the opportunity to attend and to become involved in this mentoring initiative. The director will establish a mechanism for coordinating discussions.

### **1. Annual Reviews**

The faculty member's credentials will be reviewed in the context of the job description under which the faculty member was employed and any modifications in that description that have been specified in prior statements of goals negotiated with the director. The Personnel Committee will represent the faculty in the annual review process.

*External evaluations of the faculty member's work, required for tenure and promotion reviews, may be obtained for any annual review if judged appropriate by the faculty review body (i.e., the Personnel Committee) or tenure initiating unit chair (i.e., the director). The tenure initiating unit chair (i.e., the director) shall inform probationary faculty members at the time of initial appointment and in a timely fashion each year thereafter when the annual review will take place, and the director will provide a copy of the office of academic affairs dossier outline to be completed by the faculty member in reporting accomplishments to date. At the completion of the review the tenure initiating unit chair (i.e., the director) shall provide the faculty member and the dean of the college with a*

*written assessment of the faculty member's performance and professional development. The assessment should include both strengths and weaknesses, as appropriate.*

If the director's recommendation is to reappoint the faculty member to another probationary year of service, that recommendation shall be final. A recommendation from the director to not reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures and the dean shall make the final decision in the matter.

*All annual review letters to date shall become a part of a faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure.*

*A probationary appointment may be terminated during any probationary year because of inadequate performance or inadequate professional development. At any time other than the fourth year review or mandatory review for tenure, a non-renewal decision must be based on the results of a formal performance review conducted in accord with fourth year review procedures (noted in the next paragraph). Notification of non-renewal must be consistent with the standards of notice set forth in rule 3335-6-08 of the administrative code.*

Early in autumn quarter, the director will request that each PAES probationary faculty member submit by the first Friday in January a written report of the individual's activities related to teaching, scholarship, and service. This annual report, emphasizing activities from January 1-December 31, will include 1) the "introduction" and "core" of the most current version of the promotion-and-tenure dossier specified by the Office of Academic Affairs, 2) a mission-related statement of goals and plans for scholarship, teaching, and service established at the beginning of the year being reviewed, 3) copies of student evaluations of instruction for each course taught and syllabi for all courses taught, and 4) any additional report (s) that may be submitted by the faculty member or requested by the director. A copy of the core dossier for each PAES faculty member shall be placed in an administrative office designated by the director and shall be readily available for review by any faculty member.

In addition to providing a written annual review, the director will seek advice from the PAES faculty through its Personnel Committee. The director will provide the committee with copies of the introduction and core of the promotion-and-tenure dossier of each probationary faculty member, a copy of the goals of the faculty member for the previous year, a copy of student evaluations of instruction and of syllabi. The committee will seek additional materials, e.g., copies of examinations, and other teaching materials, from the candidate that the committee deems appropriate for a particular case. The committee will subsequently provide the director and the faculty member with a written recommendation to reappoint or not reappoint the faculty member. This recommendation will be based upon reviews of the dossier, of peer evaluations of teaching, of student evaluations of advising competence, and of other evidence that the committee may deem appropriate given the assignment of the faculty member. The committee will not typically solicit external letters of support unless the Office of Academic Affairs or the college requires such letters. The goal of the committee shall be to provide an instructive, candid review that will help faculty member achieve tenure and promotion by clearly communicating perceived strengths and weakness in their work.

Any discrepancies between advice to enhance professional development that is given in the annual review by the director and that by the Personnel Committee shall be resolved in a meeting attended by the director and the committee before transmitting the respective review letters to the probationary faculty member so that conflicting advice is not offered.

Subsequent to the resolution of any conflicting advice from the director and the PAES Personnel Committee, the director and chairperson of the Personnel Committee shall meet with each probationary faculty member to discuss the annual review and future goals and plans and to provide the faculty member with copies of the committee's and the director's written annual review letters. (The director's letter shall include a reminder that according to Faculty Rule 3335-5-04, the faculty member may review his or her personnel file and may place in that file a written response to any evaluation, comment, or other material contained in the file.) At the end of each probationary year, these letters, i.e., the annual review letters of the director and the committee, shall be placed in the faculty member's promotion and tenure file and shall be included as an addendum to the core dossier of

the faculty member for subsequent annual reviews. The faculty member has an opportunity to provide written responses to the director's letters and/or to the committee's letter; these responses shall also become part of the core dossier for subsequent annual reviews during the probationary period.

*In the event that the personnel committee recommends non-renewal of the probationary appointment to the director, or the director believes that non-renewal should be considered despite a recommendation for reappointment from the personnel committee, the director shall invoke fourth year review procedures and the full eligible faculty shall consider the case. If following these review procedures, the faculty and the director recommend non-renewal of the appointment, the comments process shall be followed and the case forwarded to the dean for college level review. The dean's decision shall be final.*

## **2. Probationary Tenure Track Faculty—Regional Campus**

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

## **3. Fourth-Year Review**

*The fourth year review of probationary faculty shall follow the same process as the review for tenure and promotion at the tenure initiating unit (i.e., the school) and college levels with two exceptions: solicitation of external letters of evaluation may or may not be required by the tenure initiating unit (the school), and review by the college promotion and tenure committee shall be optional in all cases where both the tenure initiating unit (i.e., the school) and the dean approve the renewal of the appointment. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the dean. Before reaching a negative decision or a decision contrary to the tenure initiating unit's (i.e., the director's) recommendation, the dean must consult with the college promotion and tenure committee.*

## **4. Exclusion Of Time From The Probationary Period**

Faculty Rule 3335-6-03 (D), [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php) 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, [www.oaa.osu.edu/handbook/](http://www.oaa.osu.edu/handbook/). During the annual review process, the PAES Personnel Committee or the director may recommend, but may not require, that a faculty member apply for excluded time.

# **B. Tenured Faculty**

## **1. Annual Review Policies**

The director will annually provide written feedback to every tenured faculty member regarding performance. These letters will at a minimum state the expected accomplishments for the following year. (The director's statement shall include a reminder that according to Faculty Rule 3335-5-04, the faculty member may review his or her personnel file and may place in that file a written response to any evaluation, comment, or other material contained in the file.) A meeting of the director and the faculty member to discuss the report and evaluation is required if either requests such a meeting.

## **2. Annual Review Procedures**

In early autumn quarter, the director will request that each PAES tenured faculty member submit by the first Friday in January a written report of the individual's activities related to teaching, scholarship, and service. This annual report, emphasizing activities from January 1-December 31, will include 1) the "core" of the most current version of the promotion-and-tenure dossier specified by the Office of Academic Affairs, including information since the last promotion for associate professors. Full professors do not have to submit a core dossier, 2) a mission-related statement of goals and plans for scholarship, teaching, and service established at the beginning of the year being reviewed, 3) student evaluations or instruction and course syllabi, and 4) any additional report(s) that may be submitted by the faculty member or requested by the director. A copy of the core dossier for each PAES associate professor shall be placed in the director's office and readily available for review by any faculty member.

To assist each associate professor in achieving promotion to the rank of full professor, there will be quarterly meetings of the associate professors for discussions about issues related to professional development and advancement. The director will establish a mechanism for coordinating discussions.

## **V. MERIT SALARY INCREASES AND OTHER REWARDS**

### **A. Criteria**

The criteria for merit salary increases must be consistent with those shown in *Evaluation Guidelines for Promotion and Tenure*. For example, an Assistant Professor should be expected to meet criteria that are consistent with eventual advancement to the rank of Associate Professor. For example, an Associate Professor should be expected to meet criteria that are consistent with eventual advancement to the rank of Professor. For example, professors should be expected to sustain the record that resulted in promotion. The quality of teaching, scholarship, and service rendered in achieving goals consistent with the mission of the school shall be taken into account when assessing performance for awarding merit salary increases.

### **B. Procedures**

The ultimate decision on merit salary increases rests with the director of the school. In judging the extent to which a faculty member shall be awarded a merit salary increase, the previous year's performance shall be of greatest priority, but consideration of the past several years' performance and the individual's overall record may also be taken into consideration. The service of the faculty member to the school and college will also be noted.

Feedback to the faculty about salary adjustments will provide a context of the decision-making processes for determining salary adjustments. The feedback will also include descriptive statistics for the salaries of the faculty of the school in the various ranks.

### **C. Documentation**

The primary information upon which the merit decision will be made is that provided by each faculty member in the annual review documents (see annual review sections above for probationary and tenured faculty members, respectively). An optional section, "*Other Essential Evidence of Quality Performance*," may be included at the end of the document if the faculty member wishes to point out some exceptional circumstances that are not covered in the main portion of the annual review document.

Unless there are extreme extenuating circumstances, faculty members who fail to submit annual review documents or who fail to submit the documents using the correct information in the specified format will not receive merit-based salary increases.

## VI. PROMOTION AND TENURE AND PROMOTION REVIEWS

### A. Criteria

According to Faculty Rule 3335-6-02 (D) ([www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php)): *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.*

Candidates for promotion and tenure and for promotion as appropriate should be evaluated in the context of any unusual conditions under which they have been employed. To facilitate a fair evaluation, the director will provide documentation describing the original offer of employment. Annual reviews may also stipulate unusual conditions of employment. In the absence of such information, the PAES Personnel Committee must assume that no unusual conditions exist(ed).

Excellence in teaching, research, and service are defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement of Professional Ethics, [www.aaup.org/statements/Redbook/Rbethics.htm](http://www.aaup.org/statements/Redbook/Rbethics.htm)

#### 1. **Promotion To Associate Professor With Tenure**

According to faculty rule (3335-6-02) (C) ([www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php)): *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.*

Perspective for this decision should also be guided by "evaluation guidelines for promotion and tenure" in the above sections.

#### 2. **Promotion To Professor With Tenure**

According to faculty rule (3335-6-02) (C) ([www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php)): *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.*

Perspective for this decision should also be guided by "evaluation guidelines for promotion and tenure" in the above sections.

#### 3. **Regional Campus Faculty**

It is important to make explicit the distinctiveness of the criteria for faculty members at the Regional Campuses. The primary mission of the Regional Campuses is to provide high-quality instruction and to serve the needs of the respective communities. All faculty members of the School of Physical Activity and Educational Services are expected to engage in a program of scholarship. However, the School recognizes the unique demands of Regional Campus faculty members, including increased teaching demands, reduced access to faculty colleagues and graduate students, and higher levels of community involvement. Thus, the School recognizes that the quantity of the scholarship produced by Regional Campus faculty members may

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be reduced, but the quality and impact of their scholarship should be judged using the same criteria as main campus faculty members.

## **B. Procedures**

### **1. Evaluation Guidelines For Promotion & Tenure**

To achieve promotion and tenure, a faculty member is expected to provide convincing evidence of having attained overall excellence in teaching, scholarship, and service in support of the mission of the school. The faculty member's work should demonstrate impact to the greatest extent possible on ideas and practices in the area of study.

The college and university criteria will also be considered in decisions on tenure and promotion.

### **2. Evaluation Guidelines For Promotion**

To achieve promotion, a faculty member is expected to provide convincing evidence of having sustained overall excellence in teaching, scholarship, and service in support of the mission of the school. The faculty member's work should demonstrate impact to the greatest extent possible on ideas and practices in the area of study.

The college and university criteria will also be considered in decisions on tenure and promotion.

### **3. Components Of Teaching**

For purposes of promotion and tenure review, teaching comprises these five components:

- ❖ Teaching university courses--both credit and non-credit--in lecture halls, laboratories, physical performance venues, and internship supervision venues, both on and off campus. Instruction offered by electronic technology is to be included in this category
- ❖ Producing scholarly textbooks, chapters in books used as texts, literature reviews, position papers, book reviews, and other publications designed primarily for classroom and other instructional settings.
- ❖ Advising and mentoring undergraduate and graduate students. Substantive contributions to undergraduate and graduate student committees.
- ❖ Generating external funding (e.g., training grants) and/or other resources to support students.
- ❖ Developing instructional materials, courses, and curricula for use in university and non-university settings.

### **4. Evaluation Of Teaching**

The evaluation of teaching effectiveness rests on a comprehensive review of accomplishments in the six components of teaching outlined above. To be evaluated favorably, an individual must substantially contribute to the accomplishment of the mission of PAES in several of the components of teaching, with contributions in the teaching of university courses given greatest weight. Both probationary and post-tenure faculty members shall follow the processes as identified in the PAES *Peer Review of Teaching Document* (adopted Spring, 2006). In all cases, teaching effectiveness is judged relative to other available information that may include similar instructional situations within and outside the section, school, college, and university, as appropriate.

For comparative purposes, all candidates must provide the results of the OSU-generated student evaluation of instruction (SEI) for each class in which SEI's are available. This does not preclude the inclusion of other types of

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student evaluation. Furthermore, it is the long-term pattern of student evaluations that result from using such instruments that should be considered; a few evaluations in several courses have little value in judging teaching effectiveness. The instructor of record for the class may not administer the SEI. The SEI shall be administered according to institutional procedures to protect the integrity of the process and to insure valid responses. An absence of evaluations for any classroom course requires explanation because the absence of SEI creates an inability to adequately evaluate instruction.

### **5. Standards For Evaluation Of Teaching Effectiveness**

Each of the five components of teaching is rated individually. Both the quantity and quality of the candidate's teaching are evaluated. Consideration will be given to such factors as number of students, course load, level and types of courses, whether the course is required or elective, courses developed or revised, and number of different course preparations.

Of primary importance is the highly effective delivery of instruction via the courses, practicums, internships and other site-based opportunities afforded students in the various programs of the school. Highly effective instruction should enable the student to influence and impact their field and those they subsequently contact in their chosen career.

Instruction should demonstrate encouragement of the free pursuit of learning in students, an environment that fosters honest academic conduct, and evaluations of students that reflects true merit.  
(<http://www.aaup.org/Rbethics.htm>)

Evidence of sustained efforts to enhance instruction via the principles and objectives of the PAES Peer Review of Teaching document will also be seriously considered.

A candidate shall be judged unsatisfactory in teaching if the candidate fails to provide evidence of teaching effectiveness via the dossier.

### **6. Evidence Of Teaching Effectiveness**

For all teaching components, collaborative efforts with other faculty members, schoolteachers, and community members require identification of the candidate's contribution, clarification of its relevance to the PAES mission, and evidence of its impact.

Teaching university courses, both credit and non-credit, in lecture halls, laboratories, physical performance venues, and internship supervision venues, both on and off campus. Instruction offered by electronic technology is to be included in this category.

Evidence may include self-evaluation; formal and informal evaluations of teaching, including student evaluations of teaching for each class taught by the candidate and letters from current and former students and faculty peers; statements of candidate's specific involvement in each course; video tapes of the candidate's teaching performance; course syllabi and other teaching materials used, especially those created by the candidate; examples of student work; receipt of teaching awards; and course enrollment data; and interactions with FTAD and/or with the PAES Instructional Enhancement Initiative.

Producing scholarly textbooks, chapters in books used as texts, literature reviews, position papers, videos, book reviews, and other publications designed primarily for classroom and other instructional settings.

Evidence may include self-evaluation, samples of work; published reviews of work; letters of evaluation of work by peers; publishers' list of adoptions, and net copies sold.

Advising and mentoring undergraduate and graduate students.

Evidence may include self-evaluation; a list of undergraduate advisees' names with a list of special accomplishments and awards; a list of graduate advisees' names with dates of admission, completion of

candidacy exams, defense of thesis or dissertation, and graduation; a list of thesis and dissertation titles of advisees; a list of publications resulting from students' theses, dissertations, and other work; letter of evaluation from the chair of the appropriate Graduate Studies Committee; letters of evaluation of mentoring from a random sample of undergraduate and graduate advisees; candidate's written mentoring policies; reports from the graduate school representative for candidacy and oral defense of dissertation examinations, written evidence of success in placing masters and doctoral graduates in appropriate employment; and admission of advisees to programs of graduate or postdoctoral study, evidence of contributions to the diversity enhancement initiatives of the school, college, university, and for the professions.

Generating external funds and/or support of students.

Evidence includes self-evaluation, a description of grants that provide support for students (including grant title, inclusive dates, name of sponsoring agency, amount of award, number of students supported and the extent of that support), plus substantiating documents from appropriate sources, e.g., letters from funding agencies, university administrators, and student participants.

Developing novel instructional materials, courses, and curricula.

- Evidence includes self-evaluation, syllabi, proposals, outlines, plus evidence of effectiveness, including enrollment information, relation to goals of PAES, and supporting letters from appropriate supervisors.
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### **7. Components Of Scholarship**

Scholarship is broadly defined and includes a) the production of new knowledge, primarily obtained by quantitative and/or qualitative analysis; b) novel analyses or syntheses of current knowledge for the research specialist that may lead to a revision of facts, theories, etc.; and c) the novel application of knowledge to the solution of practical problems in teaching or service, including the development of novel computer software, videotapes, and community action plans, and other efforts that demonstrate the faculty member's knowledge in a specialized field of study.

Collaborative scholarly efforts with other faculty members, school teachers, and community members require identification of the candidate's contribution, clarification of its relevance to the PAES mission, and evidence of its impact.

### **8. Evaluation Of Scholarship**

Scholarly activity, defined broadly, should be relevant to the mission of the school, considering the objectives and priorities of the school and college. Importantly, scholarship should have the potential to influence the field of study. Influence is further demonstrated when scholarship "informs" instruction and service

### **9. Standards For Evaluation Of Scholarship Effectiveness**

The candidate must have developed one or more lines of coherent (focused) scholarship consistent with the mission of the school for the rank and stage of career. Both the quality (impact) and the quantity of the candidate's scholarship are evaluated.

The determination of quality is obviously difficult and involves substantial judgment. The faculty members charged with this evaluation must synthesize information from a variety of sources, including: (a) their own analyses of key works of the candidate; (b) evaluations obtained from widely known and respected scholars in the candidate's field; and (c) knowledge of the quality of the journals or other outlets in which the works appear, it being assumed that the reputation of these outlets is determined by the quality of pieces appearing in them.

In pursuit of new knowledge and in the application of that knowledge to societal situations, faculty practice intellectual honesty, they use good judgment in using, extending, and transmitting that knowledge, and do not

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have subsidiary interests that hamper or compromise their freedom of inquiry.  
(<http://www.aaup.org/Rbethics.htm>)

### **10. Evidence Of Scholarship Effectiveness**

While quite properly the quality and impact of the candidate's contribution take priority, it would be unrealistic to assume that the quantity of the candidate's contribution plays no role in the evaluation. Quantity is easier to measure than quality, though evaluators must avoid at least one major pitfall in doing so. Because authors sometimes disseminate essentially the same information several times (e.g., as a working paper, proceedings piece, and journal article), care must be taken to avoid double counting. Typically, an activity is represented only once in the dossier. The candidate is expected to indicate clearly the relationships among various writings. Similarly, the candidate is expected to indicate the amount and nature of contributions made to co-authored works.

Evidence includes self-evaluation; samples of published articles in scholarly specialty journals; review articles designed for experts in the candidate's scholarly field; books, chapters, and monographs designed for experts in the candidate's scholarly field; published and non-published abstracts of presentations to experts in the candidate's scholarly field; a list of funded and non-funded grant proposals to support scholarship and samples of those proposals; substantial, research-based reviews of scholarly works; letters of evaluation of scholarly competence from peers; evidence of citations of the candidate's work in related publications; evidence of the extent of use of scholarly works; and awards or prizes based on scholarship. Evidence of the candidate's scholarship will be completed or in-press works only.

### **11. Components Of Service**

Faculty members are expected by the university and the public-at-large to make their professional knowledge and skills available to the local community, state, nation, world and professional societies in a manner consistent with the mission of the school. In addition, as professionals committed to governance by peers, there are many internal activities that must be performed to maintain the operations of the institution. Thus, service to the community as well as to academic and professional organizations is an important component of the faculty member's obligation.

While initial contributions to service by probationary faculty members may be reduced, eventually their contributions in service should become more pronounced to assure experiences in effective service. Associate professors and others, as appropriate, should be provided opportunities as available to demonstrate leadership in service.

There are many types of service contributions. Both quantity and quality of service are considered. Service by members of the faculty include, but are not limited to activities either within or external to the university.

#### Within the university

- ❖ Serving as an appointed or elected member or leader of any academic group at the section, school, college or university levels.
- ❖ Serving as a leader or member of task forces or committees, or initiatives providing service to the section, school, college, or university.
- ❖ Contributing to student welfare through service on student-faculty committees or as advisor to student organizations.
- ❖ Contributions to the diversity enhancement initiatives of the school, college, and university.
- ❖ Coordinating programs and courses.
- ❖ Serving as a mentor for faculty members.

### External to the university

- ❖ Serving as an appointed or elected officer of an academic or professional association.
- ❖ Serving as editor or a scholarly or professional journal.
- ❖ Serving as an organizer, presenter, etc., for workshops, panels, or meetings in areas of professional competence.
- ❖ Contributions to diversity enhancement for the professions.
- ❖ Refereeing manuscripts submitted to journals, program committees, etc.
- ❖ Representing the candidate's area of specialization or section in presentations before non-professional audiences.
- ❖ Serving as a leader or member of a task force, board, or committee providing service to local, state, regional, national, or international organizations.
- ❖ Serving as a professional consultant to public or private organizations.

### **12. Standards for evaluation of service effectiveness**

Effective service occurs when contributions demonstrate appropriate commitment to program area, school, college, university and professional-level agendas for the rank and stage of career. The candidate should demonstrate tangible and substantive contributions to committee work and other service activities.

Collaborative service efforts with other faculty members, school teachers, and community members require identification of the candidate's contribution, clarification of its relevance to the PAES mission, and evidence of its impact.

In fulfilling service obligations, faculty do not discriminate or harass colleagues, they show due respect for the opinions of others, and they accept their share of responsibilities to advance the mission of the unit. (<http://www.aaup.org/Rbethics.htm>)

### **13. Evidence of service effectiveness**

Evidence includes self-evaluation and, where appropriate, letters requested by the personnel committee or director from persons who have chaired committees and the like or who have been in charge of organizations receiving the services. These persons may include colleagues and immediate superiors, peers at other universities, and members of recipient public or private organizations.

Evidence from service within the University may include the following: serving as an appointed or elected member or leader of any academic group at the section, school, college, or university levels; serving as a leader or member of task forces, committees, or initiatives providing service to the Section, school, college, or university; contributing to student welfare through service on student-faculty committees or as advisor to student organizations; coordinating programs and courses; serving as a mentor for faculty members.

Evidence from service activities external to the university may include the following: serving as an appointed or elected officer of an academic or professional association; serving as editor of a scholarly or professional journal; serving as an organizer, presenter, etc., for workshops, panels, or meetings in areas of professional competence; refereeing manuscripts submitted to journals, program committees, and the like; representing the candidate's area of specialization in presentations before non-professional audiences; serving as a leader or member of a task force, board, or committee providing service to local, state, regional, national, or international organizations; serving as a professional consultant to public or private organizations.

## C. Review Process For Promotion And Tenure Or For Promotion

### 1. *Time-line and deadlines*

*According to Faculty Rule 3335-6-04(3). 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 review or for promotion review at any time; however, the tenure initiating unit promotion and tenure committee (i.e., the PAES Personnel Committee) 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 (see below). The promotion and tenure committee (i.e., the PAES Personnel Committee) may not deny a **tenured** faculty member a formal review for promotion for more than three consecutive years.*

When the annual review materials are submitted, candidates will inform the director of their desire to be considered for non-mandatory review for promotion and tenure or for promotion. The director will inform the Personnel Committee of the candidate's request for consideration for non-mandatory review.

### 2. *Development and Refinement*

Faculty seeking mandatory and non-mandatory review for promotion and/or tenure shall work closely with his/her mentor, the Personnel Committee Procedural Oversight Designee (POD) and other colleagues (as deemed necessary) to continually develop and refine the Core Dossier so that it is accurate, clear, and comprehensive and conforms precisely to OAA guidelines. The development and refinement takes place *prior to* submission to the Personnel Committee.

For those desiring consideration for non-mandatory review, the Personnel Committee and the director will review the candidate's annual review materials. Candidates requesting consideration for non-mandatory review may choose to submit some or all of the supplemental materials, as they deem appropriate, that the Personnel Committee and director may consult to clarify aspects of the dossier, as needed.

For the Personnel Committee and director to render a positive decision to proceed with a formal non-mandatory review, the candidate's dossier should demonstrate characteristics of a dossier expected for advancement to either associate or full professor, as appropriate (faculty rule 3335-6-02-c).

If the dossier is not submitted according to the required format or does not contain the information required, neither the Personnel Committee nor the director is expected to consider information not presented in the dossier. The lack of information will be reflected by the respective judgment of the Personnel Committee and of the director.

For faculty seeking non-mandatory review with post-doctoral experience as a tenure-track faculty member at other institutions, the quality of those efforts as reflected by the information in the dossier will be considered in the Personnel Committee's and in the director's assessment for non-mandatory review. In these situations, it is anticipated that a smooth transition will be viewed to favorably reflect the potential for sustainability of effort at OSU. A smooth transition is indicated by, but not limited to, no or little reduction in the typical rate of scholarly effort, publication, and presentations at national meetings, high quality contributions to instruction including course revision, and student evaluations of instruction that demonstrate a high level of satisfaction and learning associated with courses taught, across all levels of students, as appropriate, and an appropriate record of student mentoring. Even with post-doctoral experience, some time must pass in-rank at OSU; at minimum, this would represent four quarters of activity (e.g., for an autumn appointment, the earliest that non-mandatory review could be requested would be the following autumn quarter, thus representing four [or five] quarters of activity [with a summer appointment]).

For faculty seeking consideration for promotion, it is anticipated that about six-years worth of effort after promotion to associate professor is likely to be required to develop credentials of appropriate quality for

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promotion to professor. It is possible, however, that a faculty member may develop credentials and demonstrate capabilities potentially equivalent to those required for promotion at an earlier point in time.

A decision of the Personnel Committee and of the director about the request for non-mandatory review will be communicated to the candidate in the annual letter of review for tenure-track faculty. For associate professors seeking non-mandatory review, the personnel committee will draft a letter of assessment. In this letter of assessment, and in the annual review letter by the director, the decision about non-mandatory review will be communicated. In addition to the decision, a rationale for the decision must be provided either in the content of the letter or in a separate section of the letter as deemed appropriate by either the Personnel Committee or by the director.

Decisions related to non-mandatory review will be determined in a fashion similar to conducting the annual review process. That is, both the Personnel Committee and the director must agree on the decision that is communicated to the faculty member.

If the decision on non-mandatory review is negative for an associate professor, in subsequent years, at the request of the associate professor, the Personnel Committee will conduct an annual review. This request must be made at the time the annual review materials are submitted to the director (Faculty Rule 3335-6-04, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php)).

Final versions of candidates' dossiers shall be submitted to the Director not later than August 30. Ordinarily, candidates will not be allowed to remove from or add to material in the dossiers after this submission; exceptions include copies of publications that had been reported as "in press" in the final version of the document. Also, the Personnel Committee may add internal evaluation documents generated during the review process to dossiers. If questions are raised about any aspect of the documentation of a case during the review process, it is appropriate and desirable for the committee to seek answers to those questions during its review.

The Personnel Committee may begin its review of promotion and tenure dossiers early in Autumn Quarter. The committee will meet early in the Autumn term to draft initial "draft" letters of analysis. The draft letter of analysis will be submitted to the appropriate members of the PAES faculty at a meeting at least two weeks before the letters are due. At this meeting, the committee will discuss with the faculty the strengths and weaknesses of the case. Thereafter, the faculty will further inform himself or herself about the candidate's record of activity by reviewing the dossiers and supplemental materials, and will provide additional comments to the committee about the strengths and weaknesses of the candidate's case. These comments will be incorporated into the near-final version of the faculty letter of analysis. The faculty at a second meeting will discuss this near-final version. Thereafter, the letter will be further modified to reflect the analysis of the credentials and the letter will include the outcome of the vote of the faculty on the case.

The PAES faculty vote on candidates will take place by written secret ballot within a reasonable time after the second faculty discussion of the candidate's qualifications. After reviewing the faculty vote, the PAES Personnel Committee will forward the faculty's report, including the details of the vote of the PAES faculty, to the director in accordance with the timeline adopted by the college. The director will submit a recommendation to the dean by a date determined by the college, at which time the director will also notify the candidates of both the faculty and director recommendations.

It is the responsibility of the candidate to insure the dossier and supporting materials are complete and accurate when transmitted to the respective offices for review. The candidate will be informed when the materials will be transmitted to the college office so the candidate can insure the materials are complete and correctly arranged for review at the college level.

#### **D. Review Process For Regional Campus Faculty Members**

The Dean/Director of the Regional Campus shall initiate a review of the faculty member according to the procedures established on that Regional Campus. The review focuses on the areas of teaching and service.

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The Dean/Director forwards the report of this review, and a recommendation to the School Director, for inclusion in the candidate's dossier and for the use of the School's Personnel Committee. From this point, the review follows the same steps as all promotion and tenure and promotion review, with two exceptions:

The School Director shall send to the Dean/Director of the Regional Campus copies of the Personnel Committee's letter to the School Directors and the School Director's letter to the Dean of the College.

If the recommendation of the Dean/Director of the Regional Campus and the School Director differ, the Dean of the College will confer with both individuals before making a recommendation.

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 School director, from which point the review follows the same procedures described for the Columbus campus faculty.

## 1. *External Evaluations*

### **Solicitation of letters of evaluation**

Each section or program area will maintain a compilation of between 10 and 20 potentially eligible external reviewers. Half of the list should be associate professor or higher rank and about half of the list should hold the rank of professor. This list should contain all of the information about the reviewer required by the university (e.g., personal information for correspondence and contact, employing university, rank, and stature in the field, potential relationship with the candidates (this may be left blank at the time of compilation).

Late in winter quarter or early in spring quarter but by the end of April, the PAES Personnel Committee should have developed a list of 8 to 10 potential external reviewers from the compiled list and with advice from section and school faculty but without input from the candidate. The eventual list submitted to the director should normally include faculty at peer institutions who are in a position to comment in an informed way both on the quality of the faculty member's scholarly work and on its significance to the broader field in which it resides. They should not be former advisers, collaborators, close personal friends, or otherwise have a relationship with the faculty member that could reduce objectivity. Letters from collaborators may be appropriate as a means of determining a faculty member's contributions to joint work, but such persons should not be asked for a letter of evaluation.

The candidate should be shown the initial list and invited to add a few names of individuals who meet the criteria for objective, credible evaluators. The committee should obtain at least one letter from a credible referee suggested by the candidate, with the remaining letters requested of persons not suggested by the faculty member. *Not more than half of the letters that finally appear in the dossier should be from referees recommended by the candidate (Faculty Rule 3335-6-04 (3)).*

By April 25, the Personnel Committee should present an ordered list of 8 to 10 referees to the director. Next, the director will provide input to the list as appropriate and will seek approval of the tentative list by the dean.

After approval of the list by the Dean, the director solicits letters from the external reviewers by no later than the second week in June. The director will mail review packets to the final list of reviewers with responses due by the third week in August, if possible. Interactions with the reviewers should occur that will to the greatest extent possible, secures five or six external letters of review. In addition to seeking evaluations from referees external to Ohio State, evaluations shall also be sought from other units at this university in which the candidate has an appointment or substantial professional involvement, whether compensated or not (*Faculty Rule 3335-6-04 (3)*).

According to Faculty Rule 3335-6-04 (3), *all solicited letters that are received must be included in the dossier. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the above authorized*

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persons (i.e., the director) may not be included in the dossier.

Guidelines for external letters that are included in current documents produced by the Office of Academic Affairs shall be followed.

### **Evaluation of the dossier by the faculty for formal review**

#### Voting eligibility

For the PAES faculty vote, only tenured full professors may vote for candidates seeking promotion to full professorship; only tenured associate and full professors may vote for candidates seeking promotion to associate professorship; and only tenured assistant, associate, and full professors may vote for candidates seeking promotion to assistant professor from the rank of instructor. The director, the dean, and assistant and associate deans are not eligible to vote.

#### Initial assessment by the personnel committee

After sufficient review and deliberation of the candidate's dossier and other information developed during the review process, the Personnel Committee shall draft a detailed written assessment of the candidate's strengths and weaknesses. This report shall include a statement that a committee member has verified the accuracy of the candidate's citations of published work. The report will serve as the focus of the discussion of the candidate's case before the PAES faculty.

#### Faculty review of candidates

The candidate's dossier, including letters of evaluation, shall be made available for review by the PAES faculty members eligible to vote for the candidate. The complete set of materials will be located in an administrative office as determined by the director. The core dossier including letters of evaluation may also be placed on a password-secured server location. Each person who reviews a candidate's dossier will indicate his or her review of the materials via an appropriately instituted procedure determined by the PAES Personnel Committee.

Upon review of the candidate's materials each faculty member may submit summary comments or statements that should be considered for inclusion in the report of the faculty. These may be provided either at the site of the documents, via comments to the secured server, or via e-mail to the chairperson of the PAES personnel committee.

Next, the chairperson of the PAES Personnel Committee shall call a meeting of the faculty members eligible to vote on the candidate. The director may attend as a non-contributing participant. The draft report shall be provided to eligible voting faculty at the faculty meeting. At the faculty meeting the PAES personnel committee members shall discuss with the faculty the previously prepared initial draft evaluation report. The faculty at this meeting may recommend changes in the draft report either verbally or on the copy of the draft report. Thereafter, the faculty will further inform themselves about the candidate and provide comments to the committee as appropriate about the strengths and weakness of the record. The PAES Personnel Committee will modify the letter of analysis. These near-final letters will be presented to the faculty at a second meeting that will produce the final version of the letter and will report the faculty vote.

#### PAES faculty vote

A secret written mail ballot will be prepared and distributed to all faculty members eligible to vote on a particular case. Only individuals with full-time regular appointments in the academic unit may vote of governance and participate in matters related to promotion and tenure (Faculty Rule 335-5-19; [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php)). According to the university, regular faculty are those who hold compensated appointments of at least 50% in the tenure initiated unit in which they are employed. Written ballots shall be returned by a date deemed by the Personnel Committee to provide sufficient time for counting and to meet previously established deadlines. The Personnel Committee will count and report the votes. A two-thirds affirmative vote by the eligible AND voting faculty will constitute a favorable vote for the action under consideration. The return of a ballot without a vote is considered an abstention, whereas no return of a ballot is considered a non-vote. Neither an abstention nor a non-vote is considered in the



calculation of the two-thirds requirement. The number of votes required for a positive two-thirds vote is rounded down if rounding is required.

#### Final faculty recommendation

Based on the faculty discussion and the faculty vote, the committee shall modify the letter of analysis, include the numerical vote of the faculty, include a statement of meaning of the numerical vote, and submit the report to the director.

#### Disposition of the PAES faculty report and letter of evaluation by director

The director shall subsequently and in a timely manner transmit copies of both the director's letter of evaluation and the written report of the Personnel Committee to the chairperson of the Personnel Committee, the Dean and to the candidate.

#### Review of decision with the candidate

The director and the chairperson of the Personnel Committee shall meet with the candidate to review the evaluation. Ordinarily, this meeting should occur within seven days of the candidate's receipt of the evaluation report from the director.

#### Candidate comments on school and college review

According to Faculty Rule 3335-6-04, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php)), *as soon as the faculty report and director's letter have been completed, the candidate should be notified in writing of the completion of the tenure initiating unit review and of the availability of these reports. The candidate may request a copy of these reports. The candidate may provide the tenure initiating unit chair with written comments on the tenure initiating unit 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 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.*

On completion of either the school and college reviews, the candidate will be provided a copy of the letters of analysis. The candidate will be informed that he or she has 10 days from receipt of such notice to provide written comments on these reports for inclusion in the dossier and that the school director and PAES Committee chairperson will have an opportunity to respond in writing to the candidate's comments. Candidates are advised to use this process to amend, correct, or otherwise comment on factual information or procedural matters. One iteration of comments by the candidate is permitted.

## **E. Terminating The Review Process**

### **Mandatory review**

For a mandatory review, once a complete dossier has been submitted to the Personnel Committee in August for autumn quarter review, only the candidate can stop the review process from going forward. A candidate who wishes not to undergo a mandatory tenure review during the probationary period or who withdraws from such a review in progress must provide a letter of resignation to the director to prevent or terminate the review. The letter must contain a statement by the candidate acknowledging that the decision not to complete the review may not be revoked. The letter must also state that the resignation date is effective on June 30 of the year in which the review would have occurred or on June 30 of the following year, if the additional year of employment is granted.

### **Non-mandatory review**

A faculty member may ask to be reviewed for non-mandatory tenure and/or promotion at any time. A candidate may withdraw from such a review process at any time. If the review process has moved beyond the school level, the director shall inform the dean or the senior vice-president for academic affairs and provost of the candidate's withdrawal.

## **F. PAES Personnel Committee**

### **1. Composition of the Committee**

The PAES personnel committee shall consist of six tenured full and/or associate professors — one elected from each of the four sections in the school, one elected at large from the PAES faculty, and one appointed by the director. To the extent possible the committee should reflect the gender and racial/ethnic diversity of the school faculty. Vacancies caused by resignation, prolonged illness, conflict of interest, prolonged absence from campus, or other circumstances will be filled by appointees of the director. Also, the director may be required to appoint additional full professors to the committee when the committee will consider a promotion to full professor. The committee will be formed in the spring to begin service autumn quarter. Elections, when required, will occur at a PAES winter faculty meeting. Election of the at-large member, if required, will be conducted by secret ballot, will be initiated by the PAES director, and will include as candidates all willing eligible PAES faculty members not already serving on the school Personnel Committee. Elections of section representatives to the committee will follow election of the at-large member and will also be conducted by secret ballot.

### **2. Responsibilities of the Personnel Committee and School faculty**

The responsibilities of the members of the Personnel Committee and School faculty eligible to vote are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of meetings at which the candidate's case will be discussed.
- To attend all meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case, and to vote. A vote of the faculty of a yes or no on a case must be recorded in order to be valid. Abstentions are not votes.

### **3. Personnel Committee Terms of Service**

Terms of service on the committee shall be two years.

### **4. Conflict of interest**

A faculty member should not participate in the review of a particular candidate, either as a member of the Personnel Committee or as a faculty member in the faculty voting process, when a conflict of interest is present. Such a conflict may exist when there is a familial relationship with the candidate or a close professional relationship such that the faculty member stands to gain or lose professionally from the outcome of the review.

For example, it may be difficult for a faculty member to objectively review a candidate when the faculty member is dependent in some way on the candidate's professional services. Open discussion and professional judgment is required in determining whether it is appropriate for a faculty member to not participate in a particular review. If a member of the Personnel Committee decides to recuse himself or herself from a particular review, the director shall appoint a replacement if required to complete a quorum for deliberations (see "composition of committee" above and "quorum" below).

### **5. Election of committee chairperson and procedures oversight designee**

#### **Chairperson**

At its first organizational meeting of the academic year, the committee will elect its chairperson from among the full professors on the committee. The chairperson shall serve a one-year term but may be reelected for

subsequent terms. The chairperson will: a) convene all meetings, b) remind the committee that deliberations are confidential, c) provide a written agenda for all meetings, d) keep a record of all minutes, e) inform the director of the committee's activities, and f) ensure that all communications with the candidates are in writing and that copies of these communications are submitted to the director.

### **Procedures Oversight Designee**

A Procedures Oversight Designee—a faculty member not necessarily a member of a protected group — will also be elected by the committee from its membership at its initial meeting.

The Procedures Oversight Designee should assure that the committee follows written procedures governing its reviews, that the proceedings are carried out in a highly professional manner, and, in particular, that the proceedings are free of inappropriate comments or assumptions about members of underrepresented groups that could bias their reviews. The Designee should use the most current checklist provided by the Office of Academic Affairs to assist in carrying out these duties.

To the extent possible, the Designee is responsible for assuring that the candidates' dossiers are prepared correctly, and contain no extraneous or inaccurate information before sending the dossiers forward to subsequent levels of review. If the candidate does not comply with the efforts of the Designee this fact should be noted in the faculty letter and the strengths and weaknesses should reflect the inability of the faculty to carryout an appropriate review.

Any procedural difficulties or other concerns about the review should first be brought to the attention of the committee. If those concerns cannot be resolved to the satisfaction of the Designee, the concerns should be brought to the attention of the director, who must investigate the matter and provide a response to the Designee regarding actions to be taken or why action is judged not to be warranted. It is the responsibility of every member of the committee to ensure that evaluations are based only on matters pertinent to a candidate's performance or potential for performance as a faculty member.

Judgments regarding a candidate's performance or potential shall not be influenced by age, color, disability, gender identity or expression, national origin, race, religion, sex, sexual orientation, or veteran status, and the committee proceedings shall be free from inappropriate comments or innuendos related to these characteristics. At the beginning of the first substantive deliberations of personnel matters, the Designee should remind committee members and the faculty of their responsibilities to act fairly.

### **6. *Quorum of the personnel committee***

Five full and/or associate professors will constitute a quorum for deliberations on matters involving appointment, reappointment, promotion, and/or tenure decisions for instructors, assistant professors, and associate professors, whereas five full professors will constitute a quorum for deliberations on appointment, reappointment, promotion, and/or tenure decisions at the rank of full professor.

### **7. *Minutes of meetings***

Responsibility for recording minutes for the meetings will be assigned to a committee member by the Personnel Committee chairperson. Minutes will reflect members present and the topics of discussion.

## **VII. APPEALS**

If a candidate believes that a non-renewal decision or negative tenure and/or promotion decision has been made in violation of the written rules, standards, criteria, policies, and procedures established by the university, college, and school, the candidate may appeal on the basis of an allegation of improper evaluation. Differences in or disagreements with professional judgments do not provide a valid basis for appeals.

Favorable annual reviews during the probationary period serve as a basis for an annual reappointment decision, but they do not create a commitment to grant tenure and are not a basis for appeal of a decision to deny tenure and promotion. Performance that is adequate for annual reappointment may not be adequate for the granting of tenure or for promotion. Faculty Rule 3335-6-05, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05, [www.trustees.osu.edu/ChapIndex/index.php](http://www.trustees.osu.edu/ChapIndex/index.php).

### **VIII. SEVENTH YEAR REVIEW**

*According to Faculty Rule 3335-6-05 (B), 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 (i.e., the school) may petition the dean to conduct a seventh year tenure and promotion review for an assistant professor who has been denied tenure and promotion in the mandatory sixth year review. Both the eligible faculty of the unit and the chair (i.e., the director) 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.*

*A faculty member may not request a seventh year review, appeal the denial of a petition for a seventh year review initiated by his or her tenure initiating unit (i.e., the school), 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.*

### **IX. APPENDIX: PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING – REFER TO THE PAES PEER REVIEW OF TEACHING DOCUMENT (ADOPTED SPRING 2006).**