

1 Appointments, Promotion, and Tenure Criteria and Procedures for the
2 Department of Chemical and Biomolecular Engineering
3 (Approved by Faculty, July 13, 2017; OAA approved, October 9, 2017)
4
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1 **1. PREAMBLE.**

2
3 This document is a supplement to Chapter 6 and 7 of the Rules of the University Faculty
4 <http://trustees.osu.edu/rules6/index.php>; the Office of Academic Affairs annually updated procedural
5 guidelines for promotion and tenure reviews in Volume 3 of the Policy and Procedures Handbook
6 (<http://oaa.osu.edu/handbook.html>); and other policies and procedures of the college and University to
7 which the Department of Chemical and Biomolecular Engineering and its faculty are subject.

8
9 Should those rules and policies change, the Department will follow the new rules and policies until such
10 time as it can update this document to reflect the changes. In addition, this document must be reviewed,
11 and either reaffirmed or revised, at least every four years on the appointment or reappointment of the
12 Department Chair.

13
14 This document must be approved by the Dean of the College of Engineering and the Office of Academic
15 Affairs before it may be implemented. It sets forth the Department's mission and, in the context of that
16 mission and the missions of the College and University, its criteria and procedures for faculty
17 appointments and for faculty promotion, tenure and rewards, including salary increases. In approving
18 this document, the Dean and the Office of Academic Affairs accept the mission and criteria of the
19 Department and delegate to it the responsibility to apply high standards in evaluating current faculty and
20 faculty candidates in relation to departmental mission and criteria.

21
22 The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01
23 (<http://trustees.osu.edu/rules6/ru6-01.php>) of the Administrative Code. In particular all faculty members
24 accept the responsibility to participate fully and knowledgeably in review processes; to exercise the
25 standards established in Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules6/ru6-02.php>) and other
26 standards specific to this Department and College; and to make negative recommendations when these
27 are warranted in order to maintain and improve the quality of the faculty.

28
29 Decisions considering appointment, reappointment, and promotion and tenure will be free of
30 discrimination in accordance with the University's policy on equal opportunity
31 (<https://hr.osu.edu/public/documents/policy/policy110.pdf>).

32
33 **2. DEPARTMENT MISSION.**

34
35 The Mission of the Department of Chemical and Biomolecular Engineering is:

36
37 To educate undergraduate and graduate students in Chemical and Biomolecular Engineering and
38 foster cross-fertilization with other disciplines.

39
40 To advance the state-of-the-art knowledge of Chemical and Biomolecular Engineering and allied
41 fields through novel and sustained research.

42
43 To serve the public, academic and industrial communities through consultation, collaborative
44 efforts, dissemination of research results, entrepreneurship and participation in conferences and
45 professional societies.

46

1 To value diversity as defined broadly in scholarship, approaches to teaching and in student, faculty
2 and staff make-up.

3
4 It is understood that the statements below are to be considered within the general framework
5 provided by the Rules of the University Faculty, and are subject to the provisions of that
6 document.

7
8 **3. DEFINITIONS.**

9
10 **A. Committee of the Eligible Faculty.**

11
12 **1. Tenure-track Faculty.**

13
14 The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-
15 track faculty whose tenure resides in the Department.

16
17 The eligible faculty for senior rank of new appointments, reappointment, promotion and
18 tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of higher
19 rank than the candidate whose tenure resides in the Department excluding the Department
20 Chair, the Dean and Assistant and Associate Deans of the College, the Executive Vice
21 President and Provost, and the President.

22
23 For tenure reviews of probationary professors, eligible faculty are tenured professors whose
24 tenure resides in the Department excluding the Department Chair, the Dean and Assistant and
25 Associate Deans of the College, the Executive Vice President and Provost, and the President.

26
27 **2. Clinical Faculty.**

28
29 The eligible faculty for appointment reviews of clinical faculty consists of all tenure-track
30 faculty whose tenure resides in the Department and all clinical faculty whose primary
31 appointment is in the Department.

32
33 The eligible faculty for senior rank of new appointments, reappointment, contract renewal,
34 and promotion of clinical faculty consists of all tenured faculty of higher rank than the
35 candidate whose tenure resides in the department and all non-probationary clinical faculty of
36 higher rank than the candidate whose primary appointment is in the Department excluding
37 the Department Chair, the Dean and Assistant and Associate Deans of the College, the
38 Executive Vice President and Provost, and the President.

39
40 **3. Research Faculty.**

41
42 The eligible faculty for appointment reviews of research faculty consists of all tenure-track
43 faculty whose tenure resides in the Department, all clinical faculty whose primary
44 appointment is in the Department, and all research faculty whose primary appointment is in
45 the Department.

1 The eligible faculty for senior rank of new appointments, reappointment, contract renewal,
2 and promotion reviews of research faculty consists of all tenured faculty of higher rank than
3 the candidate whose tenure resides in the Department, all non-probationary clinical faculty of
4 higher rank than the candidate whose primary appointment is in the Department, and all non-
5 probationary research faculty of higher rank than the candidate whose primary appointment
6 is in the Department excluding the Department Chair, the Dean and Assistant and Associate
7 Deans of the College, the Executive Vice President and Provost, and the President.

8 9 **4. Conflict of Interest.**

10
11 A conflict of interest exists when an eligible faculty member is related to a candidate or has a
12 comparable close interpersonal relationship, has substantive financial ties with the candidate,
13 is dependent in some way on the candidate's services, has a close professional relationship
14 with the candidate (dissertation advisor), or has collaborated so extensively with the
15 candidate that an objective review of the candidate's work is not possible. Generally, faculty
16 members who have collaborated with a candidate on at least 50% of the candidate's
17 published work since the last promotion will be expected to withdraw from a promotion
18 review of that candidate.

19 20 **5. Minimum Composition.**

21
22 In the event that the Department does not have at least three eligible faculty members who
23 can undertake a review, the Department Chair, after consulting with the Dean, will appoint a
24 faculty member from another Department within the College.

25 26 **B. Promotion and Tenure Committee.**

27
28 The Department has a Promotion and Tenure Committee that assists the Committee of the
29 Eligible Faculty in managing the personnel and promotion and tenure issues. The Committee's
30 Chair and membership are appointed by the Department Chair.

31
32 When considering cases involving clinical faculty the Promotion and Tenure Committee may be
33 augmented by two non-probationary clinical faculty members.

34
35 When considering cases involving research faculty the Promotion and Tenure Committee may be
36 augmented by two non-probationary clinical faculty members and two non-probationary research
37 faculty members.

38 39 **C. Quorum.**

40
41 The quorum required to discuss and vote on all personnel decisions is two thirds of the eligible
42 faculty not on an approved leave of absence. A member of the eligible faculty on Special
43 Assignment may be excluded from the count for the purposes of determining quorum only if the
44 Department Chair has approved an off-campus assignment.
45

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

3
4 **D. Recommendation from the Committee of the Eligible Faculty.**

5
6 In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are
7 not votes. Faculty members are strongly encouraged to consider whether they are participating
8 fully in the review process when abstaining from a vote on a personnel matter.

9
10 Absentee ballots and proxy votes are not permitted.

11
12 **1. Appointment.**

13
14 A positive recommendation from the eligible faculty for appointment is secured when two-
15 thirds of the votes cast are positive.

16
17 **2. Reappointment, Promotion and Tenure, Promotion, and Contract Renewal.**

18
19 A positive recommendation from the eligible faculty for reappointment, promotion and
20 tenure, promotion, and contract renewal is secured when a simple majority of the votes cast
21 are positive.

22
23 **4. APPOINTMENTS.**

24
25 There are five types of faculty in the Department of Chemical and Biomolecular Engineering: tenure-
26 track, clinical, research, and associated. Tenure-track, clinical, research and associated faculty positions
27 require the approval of the Dean. In addition to complying with all University and College rules with
28 respect to the total number of clinical and research faculty, under no circumstance will the combined
29 number of clinical and research faculty exceed 30% of the total number of tenure-track faculty.
30 Following is the Department of Chemical and Biomolecular Engineering’s criteria for each of the five
31 types of faculty.

32
33 **A. CRITERIA.**

34
35 **1.0. General Criteria for Tenure-track Faculty.**

36 The candidate offered a position will:

- 37 • have demonstrated through clear and convincing evidence that for the particular
38 appointment the criteria have been met or exceeded in the following areas: teaching,
39 scholarship and service.
- 40 • enhance or have strong potential to enhance the quality of the Tenure Initiating Unit
41 (TIU).
- 42 • have support for the appointment, demonstrated by a strong consensus within the TIU as
43 evidenced by an appropriate faculty review and a 66 percent positive vote. Only positive
44 and negative votes of the currently eligible voting faculty are valid and a faculty may
45 remove themselves from the vote if they were not present for a majority of the
46 evaluation/deliberation of the candidate.

1
2 **1.1. Criteria: Tenure-track Assistant Professor.**

3 The candidate offered a position will:

- 4 • have an earned doctorate or other terminal degree in the relevant field of study or
5 possession of equivalent experience.
6 • have a potential for excellence in teaching, as demonstrated by a record of teaching
7 and/or excellence in verbal and written communication.
8 • have a potential for excellence in scholarship as demonstrated by having produced a
9 body of research, scholarship and creative work.
10 • have a potential to perform effective service.
11 • have a strong potential to attain tenure and advance through the faculty ranks.

12
13 Appointment of the position of instructor can be made to an offeree if all of the criteria for
14 the position of a tenure-track faculty assistant professor have been met with the exception
15 that the offeree will not have completed the terminal degree at the time of the appointment.
16 Award of the terminal degree must be imminent. Therefore, an individual who begins an
17 appointment as an instructor without the terminal degree must complete the terminal degree
18 and be promoted by the beginning of the third year of appointment or that year is the last year
19 of an appointment (Faculty Rule 3335-6-03, <https://trustees.osu.edu>).

20
21 Upon promotion to assistant professor, the faculty member may request prior service credit
22 for time spent as an instructor. This request must be approved by the Department's eligible
23 faculty, the Department Chair, the Dean, and the Office of Academic Affairs. Faculty
24 members should carefully consider whether prior service credit is appropriate since prior
25 service credit cannot be revoked without a formal request for an extension of the
26 probationary period. In addition, all probationary faculty members have the option to be
27 considered for early promotion.
28

29 **1.2. Criteria: Associate Professor with Tenure.**

30 The candidate offered a position will:

- 31 • Meet or exceed the TIU criteria for promotion to Associate Professor with tenure.
32 •

33 Candidates who have not held a faculty position will have to demonstrate strong research
34 achievements and recognition, an aptitude and strong interest in teaching and a record of
35 service to the profession.
36

37 **1.3. Criteria: Professor with Tenure.**

38 The candidate offered a position will:

- 39 • Meet or exceed the TIU criteria for promotion to Professor with tenure.
40

- 41 • Candidates who
42 have not held a faculty position will have to demonstrate international recognition
43 for their research, an aptitude and strong interest in teaching and significant
44 service to the profession.
45

46 **1.4. Criteria: Associate Professor without Tenure.**

1 Appointment to this position generally includes tenure. However, in special cases, a
2 probationary period may be granted, in accordance with Faculty Rule 3335-6-03
3 (<https://trustees.osu.edu>), for a period not to exceed four years.
4

5 **2. Criteria for Clinical Faculty.**

6 Clinical faculty positions exist in the Department of Chemical and Biomolecular
7 Engineering. Clinical faculty in the College of Engineering will be referred to as “Assistant,
8 Associate, or Professor” of Practice in Chemical and Biomolecular Engineering. Distinctions
9 among ranks are based on the level of distinction attained by the candidate. Reappointment is
10 based on the candidate’s performance and on the continued needs of the TIU.
11

12 Clinical faculty appointments are for three to five years with the possibility of renewal. The
13 initial contract is probationary, with reappointment considered annually. Tenure is not
14 granted to clinical faculty. There is also no presumption that subsequent contracts will be
15 offered, regardless of performance. If the department wishes to consider contract renewal, a
16 formal review of the faculty member is required in the penultimate year of the current
17 contract period. For more information see Faculty Rule 3335-7 (<http://trustees.osu.edu>).
18

19 Clinical faculty may participate in matters of governance and committee service in the
20 Department and at the College level, except that they cannot participate as voting members
21 of the Department Promotion and Tenure Committee when voting on tenure-track faculty.
22

23 **3. Criteria for Research Faculty.**

24 Research faculty in the College of Engineering will be referred to as “Assistant Research
25 Professor, Associate Research Professor, or Research Professor” in Chemical and
26 Biomolecular Engineering. Distinctions among ranks are based on the level of distinction
27 attained by the candidate as described below. Reappointment is based on the candidate’s
28 performance and on the continued needs of the TIU.
29

30 Appointment of research faculty entails one- to five-year contracts. The initial contract is
31 probationary, with reappointment considered annually. Tenure is not granted to research
32 faculty. There is also no presumption that subsequent contracts will be offered, regardless of
33 performance. If the department wishes to consider contract renewal, a formal review of the
34 faculty member is required in the penultimate year of the current contract period. For more
35 information see Faculty Rule 3335-7 (<http://trustees.osu.edu>).
36

37 **Research Faculty.**

38
39 Appointments at the rank of Associate Research Professor or Research Professor require
40 evaluation by the Promotion and Tenure Committee and a discussion and vote by the eligible
41 faculty. This includes a requirement for external evaluation letters, although recommendation
42 letters may also be included.
43

44 **Research Assistant Professor.** Appointment at the rank of research assistant professor
45 requires that the individual have a doctorate and a record of high-quality publications that
46 strongly indicate the ability to sustain an independent, externally funded research program.
47

1 **Research Associate Professor and Research Professor.** Appointment at the rank of
2 research associate professor or research professor requires that the individual have a
3 doctorate and meet, at a minimum, the department's criteria for promotion to these ranks.
4

5 Research faculty may participate in matters of governance and committee service in the
6 Department and at the College level, except that they cannot participate as voting members
7 of the department promotion and tenure committee when voting on tenure-track or clinical
8 faculty.
9

10 **4. Associated Faculty.**

11 Faculty Rule 3335-5-19 (<https://trustees.osu.edu>) enumerates the titles that may be held by
12 Associated faculty in the Department of Chemical and Biomolecular Engineering. Associated
13 faculty include: lecturers, senior lecturers, faculty with tenure-track titles having
14 appointments less than 50%, and adjunct and visiting faculty. Associated appointments are
15 made for up to three years at a time, and must expire not later than June 30 of the fiscal year
16 in which the appointment commences. Associated faculty are not eligible for tenure.
17

18 An associated faculty member should hold a Ph.D. or, alternatively, have had significant,
19 industrial and or practical experience comparable to a terminal degree. Visiting faculty may
20 not be appointed for more than three consecutive years at 100% FTE.
21

22 **Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct
23 appointments may be compensated or uncompensated. Adjunct faculty appointments are
24 given to individuals who give academic service to the department, such as teaching a course
25 or serving on graduate student committees, for which a faculty title is appropriate. Typically,
26 the adjunct faculty rank is determined by applying the criteria for appointment of tenure-
27 track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the
28 relevant criteria are those for promotion of tenure-track faculty.
29

30 **Lecturer.** Evidence of ability to provide high-quality instruction is required. Lecturers are
31 not eligible for tenure, but may be promoted to senior lecturer if they meet the criteria for
32 appointment at that rank. The initial appointment for a lecturer should generally not exceed
33 one year.
34

35 **Senior Lecturer.** Appointment as senior lecturer requires that the individual have, at a
36 minimum, a doctorate in a field appropriate to the subject matter to be taught, along with
37 evidence of ability to provide high-quality instruction; or a Master's degree and at least five
38 years of teaching experience with documentation of high quality teaching. Senior lecturers
39 are not eligible for tenure or promotion. The initial appointment for a senior lecturer should
40 generally not exceed one year.
41

42 **Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment
43 at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49%
44 FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is
45 determined by applying the criteria for appointment of tenure-track faculty. Associated

1 faculty members with tenure-track titles are eligible for promotion (but not tenure) and the
2 relevant criteria are those for promotion of tenure-track faculty.

3
4 **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting**
5 **Professor.** Visiting faculty appointments may either be compensated or not compensated.
6 Visiting faculty members on leave from an academic appointment at another institution are
7 appointed at the rank held in that position. The rank at which other (non-faculty) individuals
8 are appointed is determined by applying the criteria for appointment of tenure-track faculty.
9 Visiting faculty members are not eligible for tenure or promotion. They may not be
10 reappointed for more than three consecutive years.

11
12 **5. Courtesy Appointments for Faculty.**

13 A no-salary joint appointment for tenure-track, clinical, or research University faculty from
14 another TIU is a courtesy appointment. A courtesy appointment is made at the individual's
15 current Ohio State rank, with promotion in rank recognized.

16
17
18 **B. PROCEDURES (RECRUITMENT).**

19
20 See the Office of Academic Affairs Policies and Procedures Handbook
21 (<http://oaa.osu.edu/policiesprocedureshandbook.html>) on the following topics:
22

23 Recruitment of Tenure-track, Clinical and Research Faculty
24 Appointments at Senior Rank or with Prior Service Credit
25 Hiring Faculty From Other Institutions After April 30
26 Appointment of Foreign Nationals
27 Letters of Offer

28
29 **1. Tenure-track Faculty.**

30
31 A national search is required to ensure a diverse pool of highly qualified candidates for all
32 tenure-track positions. Exceptions to this policy must be approved by the Dean of the College
33 and the Office of Academic Affairs. Search procedures must be consistent with the
34 University policies set forth in the most recent update of *A Guide to Effective Searches*
35 <https://hr.osu.edu/?s=guide+to+effective+searches>. Searches for tenure-track faculty proceed
36 as follows:

- 37 - The Dean of the College provides approval for the Department to commence a search
38 process. This approval may or may not be accompanied by constraints with regard to salary,
39 rank, and field of expertise.
40 - The Department Chair appoints a search committee consisting of three or more faculty
41 members who reflect the field of expertise that is the focus of the search (if relevant) as well
42 as other fields within the Department.

43
44 Prior to any search, members of all search committees must undergo inclusive hiring
45 practices training available through the Office of Diversity and Inclusion

1 (<https://odi.osu.edu/>). Implicit bias training, also strongly encouraged, is available through
2 the Kirwan Institute for the Study of Race and Ethnicity (<http://www.kirwaninstitute.org/>).
3

4 The search committee:

- 5 • Appoints a Diversity Advocate who is responsible for providing leadership in assuring that
6 vigorous efforts are made to achieve a diverse pool of qualified applicants.
- 7 • Develops a search announcement for internal posting in the University Personnel Postings
8 (formerly known as the "green sheet") through the Office of Human Resources and external
9 advertising, subject to the Department Chair's approval. This external advertising will consist
10 of the appropriate journals and letters to appropriate academic departments external to OSU.
11 The announcement will be no more specific than is necessary to accomplish the goals of the
12 search, since an offer cannot be made that is contrary to the content of the announcement
13 with respect to rank, field, credentials, salary, etc. In addition, timing for the receipt of
14 applications will be stated as a preferred date, not a precise closing date, in order to allow
15 consideration of any applications that arrive before the conclusion of the search.
- 16 • Develops and implements a plan for external advertising and direct solicitation of
17 nominations and applications. If there is any likelihood that the applicant pool will include
18 qualified foreign nationals, the search committee must assure that at least one print (as
19 opposed to on-line) advertisement appears in a location likely to be read by qualified
20 potential applicants. The University does not grant tenure in the absence of permanent
21 residency ("green card"), and strict U. S. Department of Labor (DOL) guidelines do not
22 permit sponsorship of foreign nationals for permanent residency unless the search process
23 resulting in their appointment to a tenure-track position included an advertisement in a field-
24 specific nationally circulated print journal.
- 25 • Screens applications and letters of recommendation and presents to the full faculty a
26 summary of those applicants (typically a subset of all of the applicants) judged worthy of
27 interview. If the faculty agrees with this judgment, on-campus interviews are arranged by the
28 search committee chair, assisted by the Department office. If the faculty does not agree, the
29 Department Chair in consultation with the faculty determines the appropriate next steps, e.g.,
30 to solicit new applications, to review other applications already received, or to cancel the
31 current search.

32
33 On-campus interviews with candidates must include opportunities for interaction with faculty
34 groups, including the search committee; graduate students; the Department Chair; and the
35 Dean or designee. In addition, all candidates make a presentation to the faculty and graduate
36 students on their research. All candidates interviewing for a particular position must follow
37 the same interview format.

38
39 Following completion of on-campus interviews, the eligible voting faculty meet to discuss
40 perceptions and preferences, and to vote on each candidate.

41
42 If the offer involves senior rank, the eligible voting faculty vote also on the appropriateness
43 of the proposed rank. (The results of the vote are provided to the Office of Academic Affairs,
44 along with the other documentation required for offers at senior rank.) If the offer involves
45 prior service credit, the eligible faculty vote on the appropriateness of such credit.

1 Appointment offers at the rank of Associate Professor or Professor, with or without tenure,
2 and/or offers of prior service credit require prior approval of the Office of Academic Affairs.
3

4 In the event that more than one candidate achieves the level of support required to extend an
5 offer, the Department Chair decides which candidate to approach first. The details of the
6 offer, including compensation, are determined by the Department Chair.
7

8 Potential appointment of a foreign national who lacks permanent residency must be discussed
9 with the Office of International Affairs. The University does not grant tenure in the absence
10 of permanent residency status. The Department will therefore be cautious in making such
11 appointments and vigilant in assuring that the appointee seeks residency status promptly and
12 diligently.
13

14 **2. Clinical Faculty.**

15 Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the
16 exception that the candidate's presentation during the on-campus interview is on
17 clinical/professional practice rather than research.
18

19 Highly qualified clinical faculty candidates may occasionally be considered for appointment
20 without a national search, but only when there is a reasonable likelihood that a national
21 search would not result in finding more highly qualified and/or more diverse candidates. The
22 Dean must first approve the decision to interview a candidate without a national search. The
23 Department Chair determines the details of the offer, including the length of the initial
24 contract subject to approval by the Dean.
25

26 Appointments at rank of Associate Professor of Practice or Professor of Practice require
27 evaluation by the Promotion and Tenure Committee, and a discussion and vote by the
28 eligible faculty are required. This includes a requirement for external evaluation letters
29 commenting on the candidate's credentials in teaching and/or professional practice. It is
30 recognized that this requirement for external letters is focused on the candidate's credentials
31 in teaching and/or professional practice, as compared to traditional external letters for
32 traditional tenure-track faculty which emphasize teaching and research credentials. To
33 address this challenge, it is recognized that the Department needs to be proactive with the
34 clinical faculty to make professional presentations on their teaching at national meetings,
35 such as ASEE, AIChE, and sub-specialties, such as safety societies.
36
37
38

39 **3. Research Faculty.**

40 Searches for research faculty generally proceed identically as for tenure-track faculty. Highly
41 qualified research candidates may occasionally be considered for appointment without a
42 national search, only when there is a reasonable likelihood that a national search would not
43 result in finding more highly qualified and/or more diverse candidates. The faculty and the
44 Dean of the College must first approve the decision to interview a candidate without a
45 national search. From that point, the on-campus interview and decision making processes are

1 identical to those following a national search. The Department Chair determines the details of
2 the offer.

3
4
5 **4. Transfer from the Tenure-track.**

6
7 Tenure-track faculty may transfer to a clinical or research appointment if appropriate
8 circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the
9 Department Chair, the College Dean, and the Executive Vice President and Provost.

10
11 The request for transfer must be initiated by the faculty member in writing and must state
12 clearly how the individual's career goals and activities have changed.

13
14 Transfers from a clinical appointment and from a research appointment to the tenure-track
15 are not permitted. Clinical faculty members and research faculty members may apply for
16 tenure-track positions and compete in regular national searches for such positions.

17
18 **5. Appointments for Associated Faculty.**

19 Any Department faculty member may propose an Associated Faculty appointment. A
20 proposal that describes the academic service to this Department justifying the appointment is
21 considered at a faculty meeting. If the proposal is approved by the faculty, a draft letter of
22 offer, accompanied by the candidate's curriculum vitae, is then submitted to the Engineering
23 Administration for review and approval by the Dean.

24
25 **6. Courtesy Appointments for Faculty.**

26 Any Department faculty member may propose a 0% FTE (courtesy) appointment for a
27 faculty member from another Ohio State Department. A proposal that describes the
28 uncompensated academic service to this Department justifying the appointment is considered
29 at a faculty meeting. If the proposal is approved by the faculty, the Department Chair extends
30 an offer of appointment. The Department Chair reviews all courtesy appointments annually
31 to determine whether they continue to be justified, and takes recommendations for non-
32 renewal before the faculty for a vote at a faculty meeting.

33
34
35 **5. ANNUAL REVIEW PROCEDURES.**

36
37 The Department follows the requirements for annual reviews as set forth in the Office of Academic
38 Affairs Policies and Procedures Handbook: <http://oaa.osu.edu/policiesprocedureshandbook.html>.

39
40 The annual reviews of every faculty member are based on expected performance in teaching,
41 research, and service as set forth in the Department's Policy on Faculty Duties and Responsibilities;
42 on any additional assignments and goals specific to the individual; and on progress toward
43 promotion where relevant.

1 The documentation required for the annual performance review of every faculty member is
2 described under MERIT SALARY INCREASES below. This material must be submitted to the
3 Department Chair no later than April 1st of each year.
4

5 The Department Chair is required (per Faculty Rule 3335-3-35, <https://trustees.osu.edu>) to include a
6 reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04,
7 <https://trustees.osu.edu>) to view their primary personnel file and to provide written comment on any
8 material therein for inclusion in the file.
9

10 **A. Probationary Tenure-track Faculty.**

11 Every probationary tenure-track faculty member is reviewed annually by the Chair, who meets
12 with the faculty member to discuss his or her performance, future plans, and goals; and prepares
13 a written evaluation that includes a recommendation on whether to renew the probationary
14 appointment. At the Chair's discretion, comments from other faculty with regard to the
15 probationary faculty performance may be solicited.
16

17 If the Department Chair recommends renewal of the appointment, this recommendation is
18 final. The Department Chair's annual review letter to the faculty member renews the
19 probationary appointment for another year and includes content on future plans and goals. The
20 faculty member may provide written comments on the review. The Department Chair's letter
21 (along with the faculty member's comments, if received) is forwarded to the Dean of the College.
22 In addition, the annual review letter becomes part of the cumulative dossier for promotion and
23 tenure (along with the faculty member's comments, if he or she chooses).
24

25 If the Department Chair recommends nonrenewal, the Fourth-Year Review process (per Faculty
26 Rule 3335-6-04 [<http://trustees.osu.edu/rules/university-rules.html>]) is invoked. Following
27 completion of the comments process, the complete dossier is forwarded to the College for review
28 and the Dean makes the final decision on renewal or nonrenewal of the probationary
29 appointment.
30

31 **1. Fourth Year Review.**

32 During the fourth year of the probationary period the annual review follows the same
33 procedures as the mandatory tenure review, with the exception that external evaluations are
34 optional and the Dean (not the Department Chair) makes the final decision regarding renewal
35 or nonrenewal of the probationary appointment.
36

37 External evaluations are only solicited when either the Department Chair or the eligible
38 faculty determine that they are necessary to conduct the Fourth-Year Review. This may occur
39 when the candidate's scholarship is in an emergent field, is interdisciplinary, or the eligible
40 faculty do not feel otherwise capable of evaluating the scholarship without outside input.
41

42 The eligible faculty conducts a review of the candidate. On completion of the review, the
43 eligible faculty votes by written ballot on whether to renew the probationary appointment.
44

45 The eligible faculty forwards a record of the vote and a written performance review to the
46 Department Chair. The Department Chair conducts an independent assessment of

1 performance and prepares a written evaluation that includes a recommendation on whether to
2 renew the probationary appointment. At the conclusion of the Department review, the formal
3 comments process (per Faculty Rule 3335-6-04 [<http://trustees.osu.edu>]) is followed and the
4 case is forwarded to the College for review, regardless of whether the Department Chair
5 recommends renewal or nonrenewal.
6

7 **2. Exclusion of Time from the Probationary Period.**

8 Faculty Rule 3335-6-03 (D) sets forth the conditions under which a probationary tenure-track
9 faculty member may exclude time from the probationary period. The full text of the rule and
10 application process is available at <http://trustees.osu.edu/rules6/ru6-03.php>. Current reasons
11 for exclusion of time include birth or adoption of children under the age of six, personal
12 illness, care of a seriously ill or injured person, an unpaid leave of absence, or factors beyond
13 the faculty member's control that hinder the performance of the usual range of duties.
14

15 **B. Tenured Faculty.**

16 Associate Professors are reviewed annually by the Department Chair. The Department Chair
17 conducts an independent assessment; meets with the faculty member to discuss his or her
18 performance and future plans and goals; and prepares a written evaluation on these topics. The
19 faculty member may provide written comments on the review.
20

21 Professors are reviewed annually by the Department Chair. The Department Chair meets with the
22 faculty member to discuss his or her performance and future plans and goals, and prepares a
23 written evaluation on these topics. The faculty member may provide written comments on the
24 review.
25

26 **C. Clinical Faculty.**

27 The annual review process for clinical probationary and non-probationary faculty is identical to
28 that for tenure-track probationary and tenured faculty respectively, except that non-probationary
29 clinical faculty may participate in the review of clinical faculty of lower rank.
30

31 In the penultimate contract year of a clinical faculty member's appointment, the Department
32 Chair must determine whether the position held by the faculty member will continue. If the
33 position will not continue, the faculty member is informed that the final contract year will be a
34 terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08
35 (<http://trustees.osu.edu/rules6/ru6-07-08.php>) must be observed.
36

37 If the position will continue, a formal performance review for reappointment is necessary in the
38 penultimate contract year to determine whether the faculty member will be offered a new
39 contract. This review follows the review procedures for promotion of clinical faculty. There is no
40 presumption of renewal of contract.
41

42 **D. Research Faculty.**

43 The annual review process for research probationary and non-probationary faculty is identical to
44 that for tenure-track probationary and tenured faculty, except that non-probationary research
45 faculty may participate in the review of research faculty of lower rank.
46

1 In the penultimate contract year of a research faculty member's appointment, the Department
2 Chair must determine whether the position held by the faculty member will continue. If it will
3 not continue, the faculty member is informed that the final contract year will be a terminal year
4 of employment. The standards of notice set forth in Faculty Rule 3335-6-08
5 (<http://trustees.osu.edu/rules6/ru6-07-8.php>) must be observed.
6

7 If the position will continue, a formal performance review for reappointment is necessary in the
8 penultimate contract year to determine whether the faculty member will be offered a new
9 contract. This review follows the review procedures for promotion of research faculty. There is
10 no presumption of renewal of contract.
11

12 **E. Associated Faculty.**

13 The Department Chair reviews all associated appointments annually to determine whether they
14 continue to be justified, and takes recommendations for non-renewal before the faculty for a vote
15 at a faculty meeting. Reappointment letters for associated faculty on annual appointments should
16 summarize the faculty member's previous year of service
17

18 Compensated associated faculty members on a multiple year appointment are reviewed annually
19 by the Department Chair, or designee. The Department Chair, or designee, prepares a written
20 evaluation and meets with the faculty member to discuss his or her performance, future plans,
21 and goals. No later than October 15 of the final year of the appointment, the Chair will decide
22 whether or not to reappoint. The Department Chair's recommendation on reappointment is final.
23

24 **6. MERIT SALARY INCREASES AND OTHER REWARDS.**

25 **A. Criteria.**

26 Except when the University dictates any type of across the board salary increase, all funds for
27 annual salary increases are directed toward rewarding meritorious performance and assuring, to
28 the extent possible given financial constraints, that salaries reflect the market and are internally
29 equitable.
30

31 On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to
32 recognize non-continuing contributions that justify reward but do not justify permanent salary
33 increases. Such payments/rewards are considered at the time of annual salary recommendations.
34
35

36 Meritorious performance in teaching, research, and service are assessed in accordance with the
37 same criteria that form the basis for promotion decisions. The time frame for assessing
38 performance will be the past 18 months, with attention to patterns of increasing or declining
39 productivity. Faculty with high quality performance in all three areas of endeavor and a pattern
40 of consistent professional growth will necessarily be favored. Faculty members whose
41 performance is unsatisfactory in one or more areas are likely to receive minimal or no salary
42 increases.
43

44 Faculty who fail to submit the required documentation for an annual review at the required time
45 will receive no salary increase in the year for which documentation was not provided, except in
46 extenuating circumstances, and may not expect to recoup the foregone raise at a later time.
47

1 **B. Procedures.**

2 The Department Chair recommends annual salary increases and other performance rewards to
3 the Dean, who may modify these recommendations. Faculty members who wish to discuss
4 dissatisfaction with their salary increase with the Department Chair should be prepared to
5 explain how their salary (rather than the increase) is inappropriately low, since increases are
6 solely a means to the end of an optimal distribution of salaries.
7

8 **C. Documentation.**

9 The annual performance review of every faculty member requires evaluation based on the three
10 primary focuses of faculty responsibility: teaching, research and service. A template, given to
11 faculty members each year to assist in the collection and presentation of data for this review is
12 included in Appendix I.
13

14 **D. Teaching.**

15 The Department recognizes that excellence in teaching is perhaps more difficult to judge than in
16 research and service; certainly, there is no single set of criteria that apply in all cases. As partial
17 and/or general guidelines, the Department values the following:

- 18 • enthusiasm for the subject.
- 19 • command of the subject; continuous growth of knowledge of the subject.
- 20 • ability to organize the material; presentation of the subject with logic and conviction.
- 21 • concern for the student; ability to communicate with students, both in the classroom and
22 outside the classroom.
- 23 • objectivity.
- 24 • skill in general guidance and advising the students.
- 25 • Theses and/or dissertations supervised and approved.
26

27 Excellence in teaching will be primarily evaluated via teaching evaluations obtained from students and
28 peers (see Section 10, Procedures for Student and Peer Evaluation of Teaching).
29

30 **E. Research.**

31 A number of quantitative measures are used to evaluate the faculty members research
32 contribution. These include:

33 **Publications.** Journals – It is expected that active faculty should have a number of significant
34 papers published in prestigious refereed archival engineering or scientific journals
35 appropriate to their sub-discipline. Publications of research monographs, book chapters and
36 books, and in refereed Conference Proceedings of national or international conferences
37 which are also significant research contributions will also be evaluated as well as patents,
38 software licenses and externally adopted software.

39 **Research Grants and Contracts.** The significance of the impact of the candidate’s research
40 should be recognized by external support of one or more projects. Funds received from
41 industrial, private foundations and federal agencies are all important as indicators of the
42 impact and quality of research. This will include grants or contracts which have been agreed
43 to in principle in writing.
44

45 Other measures of recognition include:

46 **-Research Awards**

1 **-Patents**

2 **-Invited Seminars or Invited Lectures at Conferences**

3 **-Conference Presentations**

4
5 **F. Service.**

6 Faculty members must show evidence of service to the University, to the Chemical and
7 Biomolecular Engineering (or related) profession and professional service to local, state or
8 national communities. They must demonstrate their continuing commitment to service.

9
10 **Examples of University Service** are listed below. These are not exclusive and are not in order of
11 importance:

- 12 • Departmental: administration of departmental functions beyond teaching, advising and
13 research responsibilities. Examples include: curriculum or facility review, revision or
14 renovation, organizing seminars or special programs.
- 15 • College/University: participation in administrative or policy setting activities. Examples
16 include membership in: the University Senate, the Committee for Academic Affairs, ad-hoc
17 committees focused on topics such as seed grant or new degree-granting programs.
- 18 • Student Activities: recruitment of potential students, involvement with student groups, e.g. as
19 an advisor or promoting scholarly activities. Examples include advising the Student Section of
20 AIChE or Tau Beta Pi.

21
22 **Professional Service.**

- 23 • Societies: active participation in or leadership of professional societies and/or conferences, e.g.
24 as an officer or on a policy setting committee and organizing and/or chairing symposium.
- 25 • Peer Review: of proposals for granting agencies, or of manuscripts, books, inventions, etc., of
26 a technical nature prior to or following publication.
- 27 • Consulting: service in R&D, design, operation, etc., especially when innovative concepts or
28 methods are developed, rather than just applying conventional skills and procedures.
- 29 • Professional Development: participation in short courses, workshops, panels, etc. that are
30 oriented toward training, assessing or unifying research goals, or addressing technical issues
31 of significance.
- 32 • Other Research Recognition: Offices in Professional Research Societies or Committees,
33 Editorial Board Memberships, Organizing Committee Memberships for International
34 Conferences, etc.

35
36 **Civic Service.**

- 37 • Community Service: identification or resolution of technical problems or issues that face a
38 community, e.g. pollution abatement, clean-up of chemical spills, handling toxic chemicals, or
39 assessment of hazards.
- 40 • Promotion of Technical Awareness: talking to civic groups, high school students, etc. about
41 socially important technical issues; serving as an organizer or judge of a science fair; writing
42 or providing information on technical issues that affect legislative or judicial activities.
- 43 • Government Interaction: providing advice, information or requests for action regarding
44 policies and actions.

45
46 **7. PROMOTION AND TENURE AND PROMOTION REVIEWS.**

1
2 **A. CRITERIA.** Faculty Rule 3335-6-02 (<http://trustees.osu.edu/rules6/ru6-02.php>) provides the
3 following context for promotion and tenure and promotion reviews:
4

5 *In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable*
6 *flexibility shall be exercised, balancing, where the case requires, heavier commitments and*
7 *responsibilities in one area against lighter commitments and responsibilities in another. In*
8 *addition, as the university enters new fields of endeavor, including interdisciplinary endeavors,*
9 *and places new emphases on its continuing activities, instances will arise in which the proper*
10 *work of faculty members may depart from established academic patterns. In such cases care must*
11 *be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual*
12 *attainment, in accordance with the criteria set forth in these rules, is an essential qualification for*
13 *promotion to tenured positions. Clearly, insistence upon this standard for continuing members of*
14 *the faculty is necessary for maintenance and enhancement of the quality of the university as an*
15 *institution dedicated to the discovery and transmission of knowledge.*
16

17 **1. Promotion to Associate Professor with Tenure.**

18 Faculty Rule 3335-6-02 (C) (<https://trustees.osu.edu>) provides the following general criteria
19 for promotion to Associate Professor with Tenure:
20

21 *The awarding of tenure and promotion to the rank of associate professor must be based on*
22 *convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and*
23 *as one who provides effective service; and can be expected to continue a program of high quality*
24 *teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty*
25 *member is assigned and to the university.*
26

27 Tenure is not awarded below the rank of Associate Professor at The Ohio State University. It
28 is therefore essential to evaluate and judge the probability that faculty, once tenured, will
29 continue to develop professionally and contribute to the d\Department's academic mission at
30 a high level for the duration of their time at the University.
31

32 Every candidate is held to a high standard of excellence in all aspects of performance.
33 Accepting weakness in any aspect of performance in making a tenure decision is tantamount
34 to deliberately handicapping the Department's ability to perform and to progress
35 academically. Above all, candidates are held to a very high standard of excellence in the
36 areas central to their responsibilities. If a candidate's primary teaching role is and will
37 continue to be undergraduate teaching, then excellence in undergraduate teaching is required.
38 A mediocre performance in this area would not be adequately counterbalanced by excellent
39 performance in another aspect of teaching that is a significantly smaller part of the
40 individual's responsibilities.
41

42 Excellence in teaching, research, and service are moreover defined to include professional
43 ethical conduct in each area of responsibility, consistent with the American Association of
44 University Professors' Statement on Professional
45 Ethics <http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm>.
46
47

1 The accomplishments listed below in the areas of teaching, research, and service are
2 expected of faculty for promotion to Associate Professor with Tenure. In the evaluation of
3 untenured Associate Professors for tenure, the same criteria apply, along with any others
4 established in writing at the time a senior rank appointment without tenure was offered.
5

6 **Teaching.**

7 In the section on Documentation, specific topics are outlined with respect to how teaching is
8 recorded. More generally, for promotion to Associate Professor with Tenure, a faculty
9 member is expected to:

- 10 • Provide up to date content at an appropriate level in every instructional situation and
11 demonstrate continuing growth in subject matter knowledge.
- 12 • Demonstrate the ability to organize and present class material effectively with logic,
13 conviction, and enthusiasm.
- 14 • Demonstrate creativity in the use of various modes of instruction, classroom technology,
15 and other teaching strategies to create an optimal learning environment.
- 16 • Engage students actively in the learning process and encourage independent thought,
17 creativity, and appreciation of the knowledge creation process.
- 18 • Provide appropriate and timely feedback to students throughout the instructional process.
- 19 • Treat students with respect and courtesy.
- 20 • Improve curriculum through revision or new development of courses and/or academic
21 programs.
- 22 • Serve as advisor to an appropriate number of graduate students given the Department's
23 graduate student/faculty ratio and the faculty member's area(s) of expertise.
- 24 • Engage in documentable efforts to improve teaching.
25

26 **Research.**

27 In the section on Documentation, specific topics are outlined with respect to how research is
28 recorded. More generally, for promotion to Associate Professor with Tenure, a faculty
29 member is expected to demonstrate that he/she has achieved excellence as a scholar.
30 Assistant Professor candidates for promotion and tenure shall demonstrate that they have
31 attained national reputations as scholars based on high-quality original research as
32 demonstrated by publications, research grants and contracts, invitations to present seminars
33 or invited lectures on their research, and research awards and other recognitions. The
34 candidate's research contributions must be judged by the Committee to be significant in
35 his/her research area(s), taking into account the comments of distinguished evaluators
36 familiar with the research area(s).
37

38 **Service.**

39 In the section on Documentation, specific topics are outlined with respect to service is
40 recorded. More generally, for promotion to Associate Professor with Tenure, a faculty
41 member is expected to demonstrate that he/she has achieved a level of effective service.
42

43 **2. Promotion to Professor.**

44 Faculty Rule 3335-6-02 (C) (<https://trustees.osu.edu>) establishes the following general
45 criteria for promotion to the rank of Professor.
46

1 *Promotion to the rank of professor must be based on convincing evidence that the faculty member has*
2 *a sustained record of excellence in teaching; has produced a significant body of scholarship that is*
3 *recognized nationally or internationally; and has demonstrated leadership in service.*
4

5 For promotion to Professor, a faculty member is expected to be a role model for faculty, for
6 students, and for the profession. Assessment takes place in relation to specific assigned
7 responsibilities, with exceptional performance in these responsibilities required. The specific
8 criteria in teaching, research, and service for promotion to Professor are similar to those for
9 promotion to Associate Professor with Tenure, with the added expectation of sustained
10 accomplishment and increasing quality of contributions, a record of continuing professional
11 growth, and evidence of established national or international reputation in the field.
12

13 In the evaluation of untenured Professors for tenure, the same criteria apply along, with any
14 others established in writing at the time a senior rank appointment without tenure was
15 offered.
16

17 **3. Promotion of Clinical Faculty.**

18 **Promotion to Associate Professor of Practice.** Promotion to Associate Professor of Practice
19 should be based on the candidate's

- 20 - Accomplishment in the area of teaching
- 21 - Contribution to the scholarly mission of the Department, College, and University,
- 22 - Promise of continued professional growth

23 Subject to the different emphasis for clinical faculty in teaching, scholarship and service
24 described in this section, the criteria for promotion are similar to those for promotion to
25 Associate Professor for tenure-track faculty. It is recognized that teaching activities of the
26 clinical faculty (in contrast to those of tenure-track faculty) may show greater emphasis in
27 areas such as laboratory development (e.g. lab manual authorship), design project
28 supervision, supervising student teams in project competitions, advising student
29 organizations, or interactions with industry.
30

31 **Promotion to Professor of Practice.** Promotion to Full Professor of Practice should be
32 based on the candidate's

- 33 - Sustained accomplishment in the area of teaching
- 34 - Continued contributions to the scholarly mission of the Department, College, and
35 University

36 Subject to the different emphases for clinical faculty in teaching, scholarship and service
37 described in this section, the criteria for promotion are similar to those for promotion to
38 Professor for tenure-track faculty. It is recognized that teaching activities of clinical faculty
39 (in contrast to those of tenure-track faculty) may show greater emphasis in areas such as
40 laboratory development (e.g. lab manual authorship), design project supervision, supervising
41 student teams in project competitions, advising student organizations, or interactions with
42 industry. Such contributions when present should be sustained and outstanding for successful
43 promotion to Professor of Practice.
44

45 **4. Promotion of Research Faculty.**

46 **Promotion to Research Associate Professor.** A faculty member must have a substantial
47 record of high quality focused research consistent with an appointment devoted solely to

1 research. Publications must appear in high quality peer reviewed venues and be judged by
2 external evaluators as having substantial positive impact on the field. A record of continuous
3 peer reviewed funding is required along with evidence of a growing national reputation.
4

5 **Promotion to Research Professor.** A faculty member must have a national or international
6 reputation built on an extensive body of high quality publications and with demonstrated
7 impact on the field. A record of continuous peer reviewed funding is required, along with
8 demonstrated research productivity as a result of such funding.
9

10 **B. PROCEDURES.**

11 The Department's procedures for promotion and tenure and promotion reviews are fully
12 consistent with those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules6/ru6-04.php>) and the Office Academic Affairs annually updated procedural guidelines for promotion
13 and tenure reviews (<http://oaa.osu.edu/policiesprocedureshandbook.html>). The following
14 sections, which state the responsibilities of each party to the review process, apply to all faculty
15 in the department.
16

17 **1. Candidate Responsibilities.**

- 18 • To submit a complete, accurate dossier fully consistent with Office of Academic Affairs
19 guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist
20 without ascertaining that they have fully met the requirements set forth in the Office of
21 Academic Affairs core dossier outline, including but not limited to those highlighted on the
22 Checklist.
23
- 24 • To submit a copy of the Department's APT Document that was in effect at the time of the
25 candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he
26 wishes to be reviewed under that document's criteria and procedures. This must be
27 submitted when the dossier is submitted to the Department.
- 28 • If external evaluations are required: to review, upon request by the Department Chair, the
29 list of potential external evaluators developed by the Department Chair and the Promotion
30 and Tenure Committee. The candidate may add no more than three additional names, but is
31 not required to do so. The candidate may request the removal of no more than two names,
32 providing the reasons for the request. The Department Chair decides whether removal is
33 justified. (Also see EXTERNAL EVALUATIONS below.)
34

35 **2. Promotion and Tenure Committee Responsibilities.**

36 The Department has a Promotion and Tenure Committee whose chair and membership are
37 appointed by the Department Chair. The responsibilities of the Promotion and Tenure
38 Committee are as follows:

- 39 • To review this document annually and to recommend proposed revisions to the faculty.
- 40 • To consider annually, in Spring semester, requests from faculty members seeking a non-
41 mandatory review in the following academic year and to decide whether it is appropriate
42 for such a review to take place. Only Professors on the committee may consider
43 promotion review requests to the rank of Professor. A two-thirds majority of those
44 eligible to vote on a request must vote affirmatively for the review to proceed.
- 45 • The committee bases its decision on assessment of the record as presented in the faculty
46 member's CV and on a determination of the availability of all required documentation for

1 a full review (e.g., student and peer evaluations of teaching). Lack of the required
2 documentation is necessary and sufficient grounds on which to deny a non-mandatory
3 review.

- 4 • A tenured faculty member may only be denied a formal promotion review under Faculty
5 Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules.html>) for one year. If the
6 denial is based on lack of required documentation and the faculty member insists that the
7 review go forward in the following year despite incomplete documentation, the individual
8 should be advised that such a review is unlikely to be successful.
- 9 • Consistent with Office of Academic Affairs policy, only faculty who are citizens or
10 permanent residents of the United States may be considered for non-mandatory tenure
11 review. The committee must confirm with the Department Chair that an untenured
12 faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent
13 resident (i.e. has a "green card"). Faculty not eligible for tenure due to lack of citizenship
14 or permanent residency are moreover not considered for promotion by this department.
- 15 • A decision by the committee to permit a review to take place in no way commits the
16 Committee of the Eligible Faculty, the Department Chair, or any other party to the review
17 to making a positive recommendation during the review itself.
- 18 • Annually, in late Spring through early Autumn semester, to provide administrative
19 support for the promotion and tenure review process as described below.
 - 20 ○ **Late Spring:** Select from among its members a Procedures Oversight Designee who
21 will serve in this role for the following year. The Procedures Oversight Designee's
22 responsibilities are described in the Office of Academic Affairs annual procedural
23 guidelines.
 - 24 ○ **Late Spring:** Suggest names of external evaluators to the Department Chair.
 - 25 ○ **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including
26 citations), and consistency with Office of Academic Affairs requirements; and work
27 with candidates to assure that needed revisions are made in the dossier before the
28 formal review process begins.
 - 29 ○ Meet with each candidate for clarification as necessary and to provide the candidate
30 an opportunity to comment on his or her dossier. (This meeting is not an occasion to
31 debate the candidate's record.)
 - 32 ○ Draft an analysis of the candidate's performance in teaching, research and service to
33 provide to the Committee of the Eligible Faculty with the dossier; and seek to clarify
34 any inconsistent evidence in the case, where possible. The committee neither votes on
35 cases nor takes a position in presenting its analysis of the record.
 - 36 ○ Revise the draft analysis of each case following the faculty meeting, to include the
37 faculty vote and a summary of the faculty perspectives expressed during the meeting;
38 and forward the completed written evaluation and recommendation to the Department
39 Chair.
 - 40 ○ Provide a written response, on behalf of the Committee of the Eligible Faculty, to any
41 candidate comments that warrant response, for inclusion in the dossier.
 - 42 ○ Provide a written evaluation and recommendation to the Department Chair in the case
43 of joint appointees whose tenure initiating unit is another Department. The full
44 Committee of the Eligible Faculty does not vote on these cases since the Department's
45 recommendation must be provided to the other TIU substantially earlier than the
46 Committee begins meeting on this Department's cases.

1
2
3 **3. Committee of the Eligible Faculty Responsibilities.**

4 The responsibilities of the members of the Committee of the Eligible Faculty are as follows:

- 5 • To review thoroughly and objectively every candidate's dossier in advance of the
- 6 meeting at which the candidate's case will be discussed.
- 7 • To attend all committee meetings except when circumstances beyond one's control
- 8 prevent attendance; to participate in discussion of every case; and to vote.

9 **4. Department Chair Responsibilities.**

10 The responsibilities of the Department Chair are as follows:

- 11 • Where relevant, to verify the prospective candidate's residency status. Faculty who are
- 12 neither citizens nor permanent residents of the United States may not undergo a non-
- 13 mandatory review for tenure, and tenure may not be awarded as the result of a mandatory
- 14 review until permanent residency status is established. Faculty not eligible for tenure due
- 15 to lack of citizenship or permanent residency are moreover not considered for promotion
- 16 by this Department.
- 17 • **Late Spring Semester:** To solicit external evaluations from a list including names
- 18 suggested by the Promotion and Tenure Committee, the candidate and the chair. (Also
- 19 see EXTERNAL EVALUATIONS below.)
- 20 • To make adequate copies of each candidate's dossier available in an accessible place for
- 21 review by the Committee of the Eligible Faculty at least two weeks before the meeting at
- 22 which specific cases are to be discussed and voted.
- 23 • To remove any member of the Committee of the Eligible Faculty from the review of a
- 24 candidate when the member has a conflict of interest but does not voluntarily withdraw
- 25 from the review.
- 26 • **Mid Autumn Semester:** To provide an independent written evaluation and
- 27 recommendation for each candidate, following receipt of the Committee of the Eligible
- 28 Faculty's completed evaluation and recommendation.
- 29 • To meet with the Committee of the Eligible Faculty to explain any recommendations
- 30 contrary to the recommendation of the Committee.
- 31 • To inform each candidate in writing after completion of the Department review process:
- 32 ○ of the recommendations by the Committee of the Eligible Faculty and Department
- 33 Chair.
- 34 ○ of the availability for review of the written evaluations by the Committee of the
- 35 Eligible Faculty and Department Chair.
- 36 ○ of the opportunity to submit written comments on the above material, within ten days
- 37 from receipt of the letter from the Department Chair, for inclusion in the dossier. The
- 38 letter is accompanied by a form that the candidate returns to the Department Chair,
- 39 indicating whether or not he or she expects to submit comments.
- 40 • To provide a written response to any candidate comments that warrant response for
- 41 inclusion in the dossier.
- 42 • To forward the completed dossier to the College office by that office's deadline, except in
- 43 the case of associated faculty for whom the Department Chair recommends against
- 44 promotion. A negative recommendation by the Department Chair is final in such cases.
- 45 • To receive the Promotion and Tenure Committee's written evaluation and
- 46 recommendation of candidates who are joint appointees from other tenure initiating units,

1 and to forward this material, along with the Department Chair's independent written
2 evaluation and recommendation, to the Department Chair of the other TIU by the date
3 requested.
4

5 **5. External Evaluations.**

6 External evaluations of research and scholarly activity are obtained for all promotion
7 reviews in which research must be assessed. These include all tenure-track promotion and
8 tenure or promotion reviews, all research contract renewal and promotion reviews.
9

10 It is recognized that external letters for clinical faculty are not the based on the same
11 criteria as for typical tenure-track positions, or research track positions. In this case, the
12 goal is to solicit letters that demonstrate that the candidate is of sufficient
13 expertise/knowledge to be qualified for their position. Such letters provide outside
14 verification of the Department's decision for promotion
15

16 A minimum of five credible and useful evaluations must be obtained. A credible and
17 useful evaluation:

- 18 • is written by a person highly qualified to judge the candidate's scholarly
19 accomplishments (or other performance, if relevant) who is not a close personal
20 friend, research collaborator, or former academic advisor or post-doctoral mentor
21 of the candidate. Qualifications are generally judged on the basis of the
22 evaluator's expertise, record of accomplishments, and institutional affiliation.
- 23 • provides sufficient analysis of the candidate's performance to add information to
24 the review. A letter's usefulness is defined as the extent to which the letter is
25 analytical as opposed to perfunctory.
26

27 As described above, a list of potential evaluators is assembled by the Promotion and Tenure
28 Committee, the Department Chair, and the candidate. If the evaluators suggested by the
29 candidate meet the criteria for credibility, a letter is requested from at least one of those
30 persons. Section B(3) of Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/ru6-04.php>)
31 requires that no more than half the external evaluation letters in the dossier be written by
32 persons suggested by the candidate. In the event that the person(s) suggested by the candidate
33 do not agree to write, neither the Office of Academic Affairs nor this Department requires
34 that the dossier contain letters from evaluators suggested by the candidate. The Department
35 follows the Office of Academic Affairs suggested format, provided at
36 <http://oaa.osu.edu/policiesprocedureshandbook.html>, for letters requesting external
37 evaluations.
38

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

1
2 All solicited external evaluation letters that are received must be included in the dossier. If
3 concerns arise about any of the letters received, these concerns may be addressed in the
4 Department's written evaluations or brought to the attention of the Office of Academic
5 Affairs for advice.
6

7 **C. DOCUMENTATION.** 8

9 As noted above under CANDIDATE RESPONSIBILITIES, every candidate must submit a
10 complete and accurate dossier that follows the Office of Academic Affairs dossier outline and
11 any additional requirements that the College of Engineering might require (See OAA web page
12 for latest template and requirements as well as the College of Engineering). While the Promotion
13 and Tenure Committee makes reasonable efforts to check the dossier for accuracy and
14 completeness, the candidate bears full responsibility for all parts of the dossier that are to be
15 completed by the candidate.
16

17 The complete dossier, including the SEI and peer evaluation documentation of teaching noted
18 below, is forwarded when the review moves beyond the Department. The documentation of
19 research and service noted below is for use during the Department review only, unless reviewers
20 at the college and University levels specifically request it.

- 21 • Any published materials presented for consideration should be in the form of reprints,
22 photocopies of journal articles, or other final form that documents actual publication. An
23 author's manuscript does not document publication.
- 24 • Under no circumstances should faculty solicit evaluations from any party for purposes of the
25 review.
26

27 **1. Teaching and other department suggested teaching documentation.**

28 For the time period since the last promotion or the last five years, whichever is less:

- 29 • Cumulative SEI reports (Student Evaluation of Instruction computer generated
30 summaries prepared by the Office of the University Registrar) for every class.
- 31 • Peer evaluation of teaching reports as required by the Department's peer evaluation of
32 teaching program (details provided in the Appendix II this document).
- 33 • Copies of pedagogical papers, books or other materials published, or accepted for
34 publication. Material accepted for publication but not yet published must be accompanied
35 by a letter from the publisher stating that the work has been unequivocally accepted and
36 is in final form with no further revisions needed.
- 37 • Other relevant documentation of teaching as appropriate.
38

39 **2. Research**

40 For the time period since appointment or the last promotion:

- 41 • Copies of representative scholarly papers published or accepted for publication. Papers
42 accepted for publication but not yet published must be accompanied by a notification from
43 the publisher stating that the paper has been unequivocally accepted and is in final form,
44 with no further revisions needed. Collaborative work is encouraged, and the candidate's
45 intellectual contributions to the collaborative work must be clearly and fairly described to
46 allow an accurate assessment. It is also recognized that synergism can result from

1 collaborations; therefore an assessment of contribution based solely on a linear
2 fractionation of contribution among collaborators can be misleading and inappropriate, and
3 a more holistic assessment of the candidate's contribution must be made.

- 4 • Documentation of grants and contracts received. It is recognized that funding is a means
5 to an end, and the ultimate objective of funding is scholarship. Consequently, less
6 evaluation is placed on the source of funding, and more on the impact of that funding on
7 scholarship.
- 8 • Involvement in the start-up of new commercial enterprises is a further example of
9 scholarship.
- 10 • Documentation of national/international reputation. Examples of metrics include:
11 invitations to make technical presentations, review panels, citations of candidates'
12 published work, etc.
- 13 • Other relevant documentation of research as appropriate, e.g. published reviews including
14 publications where one's work is favorably cited, or grants and contract proposals that
15 have been submitted.
- 16 • Appendix I, which summarizes topics for a faculty members annual report on scholarship
17 is an example of topics considered as scholarship.

18 **3. Service**

19 For the time period since the last promotion:

- 20 • Any available documentation of the quality of service that enhances the list of service
21 activities in the dossier.

22 **8. APPEALS.**

23
24
25
26 Faculty Rule 3335-6-05 (A) (<https://trustees.osu.edu>) sets forth general criteria for appeals of negative
27 promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule
28 3335-5-05 (<https://trustees.osu.edu>). Disagreement with a negative decision is not grounds for appeal. In
29 pursuing an appeal, the faculty member is required to document the failure of one or more parties to the
30 review process to follow written policies and procedures.

31 **9. SEVENTH YEAR REVIEWS.**

32
33
34 Faculty Rule 3335-6-05 (B) (<https://trustees.osu.edu>) sets forth the conditions of and procedures for a
35 seventh year review for a faculty member denied tenure as a result of a sixth year (mandatory tenure)
36 review.

37 **10. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING.**

38 **A. Student Evaluation of Teaching**

39
40
41 Use of the Student Evaluation of Instruction (eSEI) is required in every course offered in this
42 department.

43 **B. Peer Evaluation of Teaching**

1 The Department Chair oversees the department's peer evaluation of teaching process.

2
3 Annually the Department Chair appoints a Peer Review of Teaching Subcommittee of a size
4 judged sufficient to meet the volume of peer review activity expected that year, without
5 overburdening any of the members. The term of service is one year, with reappointment
6 possible. Reasonable efforts are made to distribute service among the tenured faculty from year
7 to year in order to support and encourage attention to the quality of teaching in the
8 department. Although there is no presumption that a peer reviewer must be of equal or higher
9 rank than the faculty member being reviewed, such a model will be followed to the extent
10 possible.

11 The responsibilities of the Peer Review of Teaching Subcommittee are as follows:

- 12 • to review the teaching of probationary tenure-track and clinical faculty at least once per year
13 during the first two years of service, and at least once per year during the remainder of the
14 probationary period, with the goal of assessing teaching at all the levels of instruction to
15 which the faculty member is assigned in the course of each probationary year
- 16 • to review the teaching of tenured associate professors and non-probationary associate
17 professors of clinical practice at least once every two years, with the goal of assessing
18 teaching at all the levels of instruction to which the faculty member is assigned over a three-
19 year period
- 20 • to review the teaching of tenured professors and non-probationary professors of clinical
21 practice at least once every four years with the goal of assessing teaching at all the levels of
22 instruction to which the faculty member is assigned during the year of the review
- 23 • to review, upon the Department Chair's request, the teaching of any faculty member not
24 currently scheduled for review. Such reviews are normally triggered by low or declining
25 student evaluations or other evidence of the need for providing assistance in improving
26 teaching.
- 27 • to review the teaching of a faculty member not currently scheduled for review, upon that
28 individual's request, to the extent that time permits. Reviews conducted at the request of the
29 faculty member are considered formative only. The Department Chair is informed that the
30 review took place, but the report is given only to the faculty member who requested the
31 review. Faculty seeking formative reviews should also seek the services of the University
32 Center for the Advancement of Teaching (www.ucat.osu.edu).

33
34 Reviews conducted upon the request of the Department Chair or the faculty member focus on the
35 specific aspects of instruction requested by the Chair or faculty member.

36
37 Regularly scheduled peer teaching evaluations (the first three situations listed above) are
38 comprehensive and should include, in addition to class visitation, review of course syllabi and
39 related instruction materials. In the case of peer review for the purposes of promotion and tenure
40 reviews, the class visitation is conducted by one or more senior peers whom the promotion and
41
42
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1 tenure chair has identified in consultation with the candidate. The peer reviewer should meet
2 with the candidate to establish a time for the visit and to understand the goals of the course and
3 the candidate's teaching philosophy. If possible, the peer reviewer should attend two different
4 class sessions over the course of the semester.

5
6 In observing the course and reviewing the syllabus and other materials, the peer reviewer should
7 focus on such issues as the appropriateness of the course design given the goals and level of the
8 course, the quality and effectiveness of the instructional materials and assessment tools, and the
9 appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of
10 the class visits, the reviewer meets with the candidate to give feedback and also submits a written
11 report to the Department Chair, copied to the candidate. The candidate may provide written
12 comments on this report and the reviewer may respond if he/she wishes. The reports are included
13 in the candidate's promotion and tenure dossier.

14
15 Appendix II contains example forms used for peer review.

1
2 **APPENDIX I**

3
4 **ACTIVITY REPORT**

5
6 Research:

- 7
8 1. Books and Book Chapters
9 2. Referred Papers
10 3. Proceedings and Publications
11 4. Technical Reports
12 5. Patents
13 6. Invited Lectures, Seminars and Short Courses
14 7. Additional Paper Presentations
15 8. Organizers and Session Chairs of National and International Meeting
16 9. Editorial Boards, National Committees and Other Professional Activities
17 10. Honors and Awards

18 **11. GRANT SUPPORT**

- 19 a. Current Grants and Projects – (Dollar Amount (Budget); Name(s) of PI –
20 Sponsor – Title – Start Date – End Date – Project or
21 Grant Account Number)
22 b. Proposals Submitted – (Similar Information as Above)
23 12. Graduate Student Supervision (Student Thesis Topic)
24 13. Postdoctoral Supervision
25

26 **TEACHING:**

- 27 1. Courses Taught (Number of Students; Summary Teaching Evaluations)
28 2. Courses Under Development
29

30 **SERVICE:**

- 31 1. Committees
32 2. Advising
33 3. Outreach and Engagement, Professional, Consulting, Other
34 4. Recruiting
35

36 Other:

- 37
38 1. Other Important Accomplishments Made in Either the University or the Professional
39 Arena That Were Not Covered Above
40

41 **Goals:**

- 42
43 1. Please provide a list of your professional goals for the next year
44
45

1 **APPENDIX II**

2
3 **Table 1**
4 **Class Observation Checklist**

5
6 **Course: __ Instructor: Date:**

7 Circle your responses to each of the 10 questions and then add comments below the table.

	Extremely	Very well	Adequately	Inadequately	Not at all
The instructor					
1 – was well prepared for class	5	4	3	2	1
2 – was knowledgeable about the subject matter	5	4	3	2	1
3 – was enthusiastic about the subject matter	5	4	3	2	1
4 – spoke clearly, audibly, and confidently	5	4	3	2	1
5 – used a variety of relevant illustrations/examples	5	4	3	2	1
6 – made effective use of the board and/or visual aids	5	4	3	2	1
7 – asked stimulating and challenging questions	5	4	3	2	1
8 – effectively held students’ attention	5	4	3	2	1
9 – encouraged and achieved active student involvement	5	4	3	2	1
10 – treated students impartially and with respect	5	4	3	2	1

8
9 **Overall rating (add circled responses and divide by 10): _**

10
11 **What worked well in the class? (Continue on back if necessary)**

12
13 **What could have been improved? (Continue on back if necessary)**

14
15
16
17
18
19 **Evaluator(s) _____**

Table 2
Course Material Checklist

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Course: **Instructor:** **Date:**

Circle your responses to each of the 10 questions and then add comments below the table.

	Extremely	Very well	Adequately	Inadequately	Not at all
1. Course content includes the appropriate topics	5	4	3	2	1
2. Course content reflects the current state of the field	5	4	3	2	1
3. Course learning objectives are clear and appropriate	5	4	3	2	1
4. Course policies and rules are clear and appropriate	5	4	3	2	1
5. Lecture notes are well organized and clearly written	5	4	3	2	1
6. Supplementary handouts and web pages are well organized and clearly written	5	4	3	2	1
7. Assignments are consistent with objectives and appropriately challenging	5	4	3	2	1
8. Tests are consistent with learning objectives and appropriately challenging	5	4	3	2	1
9. Tests are clearly written and reasonable in length	5	4	3	2	1
10. Student products demonstrate satisfaction of learning objectives	5	4	3	2	1

Overall rating (add circled responses and divide by 10):

What are the strengths of the course materials? (Continue on back if necessary)

What could have been improved? (Continue on back if necessary)

1
2
3
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5
6

Evaluator(s)