

Appointments, Promotion, and Tenure Criteria and Procedures for The Ohio State University College of Food, Agricultural, and Environmental Sciences

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I. Preamble

This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs [Policy and Procedures Handbook](#); and other policies and procedures of the College and University to which the College and its faculty are subject.

Should those rules and policies change, the College of Food, Agricultural, and Environmental Sciences (CFAES) will follow the new rules and policies until this document is edited to reflect the changes. In addition, this document will be reviewed, and either reaffirmed or revised, at least every five years on the appointment or reappointment of the Vice President for Agricultural Administration and Dean (VP/Dean) of CFAES.

The Office of Academic Affairs (OAA) must approve this document before it may be implemented. It sets forth the CFAES mission and, in the context of that mission and the mission of the University, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the VP/Dean and OAA accept the mission and criteria of the College and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to the CFAES mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](#) 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](#) and other standards specific to CFAES; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the University's [Policy on Equal Opportunity](#).

CFAES has tenure-initiating units (TIUs) comprising academic departments, a school, and the OSU Agricultural Technical Institute. These TIUs are led by chairs or directors, which are both referred to in this documents as "TIU heads."

II. College Mission

We sustain life.

We focus on sustainability through:

- production efficiency and technologies,
- food security and safety,
- economic and policy analysis,
- preservation of the environment, ecosystems, and water quality,
- social responsibility and well-being.

We foster economic development through technologies and value-added products.

We strive to ensure human, animal, plant, and environmental health.

We prepare our future leaders and scientists.

III. Definitions

A. Committee of the Eligible Faculty

1. Tenure-track Faculty

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

The eligible faculty for senior rank new appointments and for reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of equal or higher rank than the candidate whose tenure resides in the TIU excluding the TIU head, the VP/Dean and Assistant and Associate Deans of CFAES, the Executive Vice President and Provost, and the President.

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the TIU excluding the TIU head, the VP/Dean and Assistant and Associate Deans of CFAES, the Executive Vice President and Provost, and the President.

2. Clinical Faculty

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

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

3. Research Faculty

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

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of equal or higher rank than the candidate whose tenure resides in the TIU, all nonprobationary clinical faculty of equal or higher rank than the candidate whose primary appointment is in the TIU, and all nonprobationary research faculty of equal or higher rank than the candidate whose primary appointment is in the TIU excluding the TIU head, the VP/Dean and Assistant and Associate Deans of CFAES, the Executive Vice President and Provost, and the President

4. Conflict of Interest

Conflict of interest standards may differ among TIUs within CFAES, among colleges within the University, and for external reviewers. As a *minimum* standard for TIUs in CFAES, members of the eligible faculty have a conflict of interest when they are or have been to the candidate:

- a) a thesis, dissertation, or postdoctoral advisee/advisor;
- b) a co-author on more than 25% of publications since appointment or last promotion, including pending publications and submissions;
- c) a collaborator on more than 25% of projects since appointment or last promotion, including current and planned collaborations;
- d) in a consulting/financial arrangement since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services); or
- e) in a family relationship such as a spouse, child, sibling, or parent, or other relationship, such as a close personal friendship, that might affect one's judgment or be seen as doing so by a reasonable person familiar with the relationship.

Such faculty members will be expected to withdraw from a promotion review of that candidate.

Furthermore, as a *minimum* standard for TIUs in CFAES, conflict of interest for external reviewers exists if the reviewer is or has been to the candidate:

- a) a thesis, dissertation, or postdoctoral advisee/advisor;
- b) a research collaborator, which includes someone who a coauthor on a publication within the past 3 years, including pending publications and submissions;
- c) a collaborator on a project within the past 3 years, including current and planned collaborations;
- d) a consulting/financial arrangement or other conflict of interest in the past 3 years, including receiving compensation of any type (e.g., money, goods, or services);

- e) a relative or close personal friend; or
- f) in any relationship, personal or professional, that could reduce the reviewer's objectivity.

Also excluded are reviewers from the same institution, or those who had previous employment in the same institution within the past 12 months, or those who are being considered for employment at the institution.

The candidate should be shown the list of reviewers by the TIU head before evaluations are solicited in order to identify any conflicts of interest or other issues that would interfere with the objectivity of the reviews ([OAA Policies and Procedures Handbook](#)).

Letters from collaborators may be appropriate as a means of determining a candidate's contributions to jointly conducted work, but collaborators must not be asked to write an external evaluation. Letters from collaborators may be included in the "Other Letters" section ([OAA Policies and Procedures Handbook](#)).

If the TIU head or deliberative body (P&T Committee) encounters a conflict of interest situation about which they are uncertain, they must bring it to the attention of the VP/Dean (or designee).

5. Minimum Composition

In the event that the TIU does not have at least three eligible faculty members who can undertake a review, the TIU head, after consulting with the VP/Dean, will appoint a faculty member from another TIU within CFAES.

6. Quorum and threshold for positive recommendations

The portion of total votes required to be positive for a candidate to receive a positive recommendation from the eligible faculty for appointment is determined by the TIU. A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is likewise determined by TIUs and defined in TIU APT documents.

B. CFAES Promotion and Tenure Committee

The CFAES Promotion and Tenure (P&T) Committee reviews the promotion, tenure and reappointment or renewal of faculty and provides an evaluative assessment to the VP/Dean. The Committee's assessment is advisory to the VP/Dean. The Committee will take two votes on each case submitted for promotion or promotion and tenure. The first vote reflects whether the candidate meets University, College, and TIU standards and criteria for promotion and, as appropriate, for tenure, and documents in its letter where the weight of the evidence lies. This vote is reported to OAA. The second vote is a vote concerning the TIU's process of evaluating the candidate and reflects the Committee's judgment whether the TIU has reached a recommendation in a manner consistent with University, College, and TIU policies and rules.

The Committee's letter to the VP/Dean will report this vote and, when negative votes are recorded, the letter will detail where the TIU deviated from policies and rules.

1. Composition of the Committee

The CFAES Promotion and Tenure Committee consists of one tenured faculty member holding the rank of Professor from each TIU in CFAES. The members must have primary tenured appointments in the TIU they represent. Members are appointed for a three-year term starting on July 1 with a staggered schedule to ensure that approximately one-third of the committee's members are newly appointed each year.

When considering cases involving clinical faculty, the committee may be augmented by two nonprobationary clinical faculty members. When considering cases involving research faculty, the committee may be augmented by two nonprobationary clinical faculty members and two nonprobationary research faculty members.

The VP/Dean will make the appointments from the names provided by the CFAES Faculty Advisory Council in accordance with the CFAES Pattern of Administration (POA). An appointee is not eligible for consecutive reappointment unless implementation of this rule impedes the ability of each TIU to be represented on the committee, in which case the VP/Dean or designee may permit a waiver of committee term limits.

Each year, the committee will elect one of its members to serve as committee chair and one of its members to serve as vice-chair for the year. Committee members will not participate in review of candidates from their own TIUs. In case a committee member is temporarily unable to perform his or her duties, the committee shall consult with the VP/Dean or designee to determine committee composition.

2. Procedures Oversight Designee

One primary procedures oversight designee (POD) and one secondary POD for the year (July 1-June 30) will be appointed from the continuing members of the committee by the committee chair and the vice chair. The primary POD will be assigned responsibility for oversight of the review of candidates from TIUs other than the primary POD's home TIU. The secondary POD will be assigned responsibility for oversight of the review of candidates from the TIU of the primary POD. The responsibilities of the POD are described in Volume 3 of the Office of Academic Affairs [Policies and Procedures Handbook](#), and summarized in the [POD Duties document](#).

3. Operation of the Committee

The committee will review and discuss the dossier of each candidate before conducting a secret ballot for each of the two votes described previously. The chair of the committee, or vice-chair as appropriate, will submit a written report of the committee's

assessment and votes for each candidate. The review will include an assessment of the strengths and weaknesses, and a judgment as to where the weight of the evidence lies.

The committee will meet annually with the VP/Dean or designee (Senior Associate Dean) to discuss issues to be considered for possible revision or clarification in the standards, policies, and procedures for review of candidates for promotion and tenure at the TIU and College levels.

The quorum required to discuss and vote is two-thirds of the eligible committee members not on an approved leave of absence or not excused by the VP/Dean or designee for other extenuating circumstances. Attendance may be accomplished through digital forums that provide both voice and visual contact with all other committee members. Committee members who recuse themselves because of a conflict of interest are not counted when determining quorum.

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

Absentee ballots and proxy votes are not permitted.

IV. Appointments

A. Criteria

CFAES is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the faculty. Important considerations include the individual's record to date in teaching, research, extension/outreach, clinical practice, service, and administrative duties as applicable to the position;
potential for professional growth in each of these areas as applicable;
potential to develop national/international recognition for significant contribution in one or more areas of responsibilities; and
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 TIU and College.

No offer will be extended in the event that the search process does not yield one or more candidates who would enhance faculty quality. The search is either cancelled or continued, as appropriate to the circumstances.

Faculty must possess an academic degree relevant to what they are teaching and at least one level above the level at which they teach, except in programs for terminal degrees or when equivalent experience is established. When faculty are employed based on equivalent experience, the institution defines a minimum threshold of experience and an evaluation process that is used in the appointment process. See the [OAA Policies and Procedures Handbook](#).

For each type of faculty appointment, a TIU APT document must describe: (1) the unit's criteria for making such an appointment, (2) the evidence to be provided in support of such an appointment, and (3) the unit's procedures for making such an appointment. It is the expectation of the College that a faculty appointment forwarded from a TIU for approval by the College or a courtesy faculty appointment made by a TIU will have been made consistent with that TIU APT document, and other relevant policies, procedures, practices, and standards established by: (1) the College, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

1. Tenure-track Faculty

Instructor. Appointment at the rank of Instructor is made only when the offered appointment is that of Assistant Professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The TIU 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 end of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to Assistant Professor, the faculty member may request prior service credit for time spent as an Instructor. This request must be approved by the TIU's eligible faculty, the TIU head, the VP/Dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. A minimum requirement for appointment at or promotion to the rank of assistant professor or a higher rank is an earned doctorate or other terminal degree in the relevant field of study or possession of appropriate experience. Evidence of potential for scholarly productivity, high-quality teaching (including extension teaching as appropriate to the position), and high-quality service to the TIU and the profession is highly desirable. Appointment at the rank of Assistant Professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the unit's Promotion and Tenure Committee determines 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. If tenure review has not occurred prior to the sixth year, the faculty member will be informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year. If the sixth-year review is negative, the seventh year is a terminal appointment.

Associate Professor and Professor. Appointment at senior rank requires that the individual, at a minimum, meet the TIU's criteria in teaching (including extension teaching as applicable), 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 will not grant tenure in the absence of permanent residency. Offers to foreign nationals require prior consultation with the Office of International Affairs.

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

2. Professional Practice Faculty

Appointment of clinical (professional practice) faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. Beyond the probationary period, reappointments are made for a term of not less than three and not greater than five years. Tenure is not granted to clinical faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the TIU wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule [3335-7](#).

Individuals appointed as clinical faculty may participate in all governance and committee functions at the unit, College, and University levels, except where restricted by College or University rules (e.g., they may not vote on promotion and tenure for tenure-track faculty). Clinical faculty may be nominated for and serve if elected on the University Senate as representatives of the College, see [Faculty Rule 3335-7-11](#). Principal investigator status is automatically granted for clinical faculty having at least a 50% appointment. Clinical faculty may qualify for participation as Graduate School advisors and committee members consistent with Graduate School guidelines.

Each TIU appointing clinical faculty must have a POA that describes the governance rights to be extended to such faculty within the appointing unit.

Professional practice faculty are practitioners and shall be engaged primarily in teaching activities related to courses or instructional situations involving professional skills and practicum supervision. Such faculty may comprise no more than twenty percent of the total tenure-track faculty in CFAES. Professional practice faculty in CFAES will be referred to as Assistant Professor, Associate Professor, or Professor of Professional Practice with ranks based on the level of distinction attained by the candidate according to criteria detailed in the APT document of the appointing unit.

Assistant Professor of Professional Practice. Appointments at the rank of Assistant Professor of Professional Practice require clear evidence of experience in the practice of the discipline, knowledge of subject matter in the area of specialization, and the ability to share and transfer this experience and knowledge to students. Normally, the candidate will have a doctorate or terminal degree (e.g., DVM or MBA) in the relevant field of study. Promise of excellence in service and professional accomplishment are also desirable.

Associate Professor and Professor of Professional Practice. External hires at the Associate Professor or Professor levels must demonstrate the same accomplishments in teaching and service as persons promoted within the University. Criteria must be detailed in the AP&T document of the appointing unit.

3. Research Faculty

Research faculty may be appointed in CFAES units if the faculty of the academic unit has voted to have research track faculty.

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

Research Associate Professor and Research Professor. Appointment at the rank of Research Associate Professor or Research Professor requires that the individual have a doctorate and meet, at a minimum, the TIU's criteria for promotion to these ranks.

4. Associated Faculty

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

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

Lecturer. Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for

tenure, but may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed one year.

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

Assistant Professor, Associate Professor, Professor with FTE below

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

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

5. [Courtesy Appointments for Faculty](#)

Occasionally the active academic involvement in this TIU by a tenure-track, clinical, or research faculty member from another TIU at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this TIU. 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.

B. [Procedures](#)

See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs [Policies and Procedures Handbook](#) for information on the following topics:

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

1. Tenure-track Faculty

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the College and the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Searches for tenure-track faculty proceed as follows:

The TIU head, in consultation with the faculty, determines the need for a tenure-track faculty member based on existing unit strengths and/or gaps. The College requires documentation of all particulars relative to a position by means of the CFAES position request form, available from the VP/Dean or designee. The position request form, and any accompanying documentation demonstrating unit, College, and University strategic alignment of the position must be submitted to the VP/Dean or designee before the position will be approved.

The VP/Dean of CFAES provides approval for the unit 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 TIU head 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 TIU.

Prior to any search, members of all search committees must undergo inclusive excellence training available through the CFAES Office of Equity and Inclusion. Implicit bias training, also strongly encouraged, is also available through the CFAES Office of Equity and Inclusion.

The search committee:

Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.

Develops a search announcement for internal posting in the University job postings through the [Office of Human Resources](#) and external advertising, subject to the TIU head'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 advertise using at least

one 30-day online ad in a national professional journal. The University does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific nationally prominent professional journal.

Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the TIU office. If the faculty does not agree, the TIU head in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the TIU head; and the VP/Dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship, and, if deemed appropriate for the search, teach a class. The latter could be an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the eligible faculty meet to discuss perceptions and preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each candidate to the TIU head.

If the offer involves senior rank, the eligible 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. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the TIU head. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

In the event that more than one candidate achieves the level of support required to extend an offer, the TIU head decides which candidate to approach first. The details of the offer, including compensation, are determined by the TIU head.

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

2. Professional Practice Faculty

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

3. Research Faculty

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that during the on-campus interview the candidate is not asked to teach a class, and exception to a national search requires approval only by the VP/Dean.

4. Transfer from the Tenure-track

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the TIU head, the VP/Dean, and the Executive Vice President and Provost.

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

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

5. Associated Faculty

The appointment, review, and reappointment of all compensated associated faculty are decided by the unit's head in consultation with the unit's designated committee.

Compensated associated appointments are generally made for a period of one year, unless a shorter or longer period is appropriate to the circumstances.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the unit and are decided by the unit head in consultation with the unit's designated committee.

Visiting appointments may be made for one term of up to three years or on an annual basis for up to three consecutive years.

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

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

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not proceed to the College level if the TIU head's recommendation is negative, and does not proceed to the University level if the VP/Dean's recommendation is negative.

6. Courtesy Appointments for Faculty

Any unit faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State TIU. A proposal that describes the uncompensated academic service to this TIU justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the unit head extends an offer of appointment. The unit head reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

7. Reappointments of endowed chairs and named professorships.

Appointments to endowed chairs and named professorships are for terms not to exceed 5 years, with reappointment subject to review. Typically, these individuals will be tenured faculty members, and this process does not affect their tenure or academic rank. This document specifies procedures for TIU review of endowed chair holders and named professors for the purpose of reappointment. This process does not apply to endowed chairs or named professorships that are not tied to a specific TIU, nor does it apply to endowed chairs or named professorships for which a variation of the typical 5-year term is specified in the chartering document.

a) Timing

The review should be conducted in the semester prior to the reappointment decision. It is the TIU's responsibility to ensure suitable timing.

b) A self-report:

In addition to an updated CV, the candidate for reappointment (to an endowed chair or named professorship) will prepare and submit a self-report indicating key accomplishments since the previous (re) appointment, the impacts(s) of the endowed program under the candidate's direction, challenges for future programming, and plans for the future. The self-report should be brief and include:

- (1) The structure of the endowed program, including organization and role of advisory council (if any).
- (2) A summary of the candidate's accomplishments in teaching, research, outreach teaching, and service, since the previous (re)appointment.
- (3) A description of program-supported activities
- (4) Impacts of the program on the university community, stakeholders, and the general public.
- (5) Plans and investments in future programs.

c) External evaluations

The TIU head or P&T Committee may solicit letters of evaluation from the program Advisory Committee, stakeholders, or recognized authorities in the candidate's area of specialization if deemed necessary or appropriate. The candidate for reappointment may solicit external letters of support if he/she so chooses.

d) TIU review

- (1) The P&T Committee, excluding members with a conflict of interest as defined in section III.A.4.a. above, will review the self-report and the candidate's CV. The current document chartering the endowment ("current" meaning as amended, if the charter has been amended) will be made available to the P&T Committee. The criteria for reappointment will be consistent with the current chartering document. The P&T Committee may choose to invite the candidate to attend the review meeting if the P&T Committee deems it appropriate or necessary.
- (2) The P&T Committee will conduct a meeting of TIU faculty, excluding members with a conflict of interest as defined in section III.A.4.a. above, to provide input into the review. Copies of the current chartering document, the self-report, and any external review letters will be made available to faculty prior to this meeting. The P&T Committee may choose to invite the candidate to attend the faculty meeting if the P&T Committee deems it appropriate or necessary.
- (3) The P&T Committee will provide a brief written and oral report of findings and recommendations to the TIU head.
- (4) The TIU head will prepare a written recommendation to the VP/Dean, concerning reappointment.
- (5) The P&T Committee and TIU head's written recommendations will be made available to the candidate. The candidate will have an opportunity to respond in writing to the P&T Committee and TIU head's recommendation.
- (6) The P&T Committee and TIU head's recommendations and the response (if any) will be forwarded to the VP/Dean.

e) Notification

The VP/Dean will notify the TIU chair of her/his decision whether to reappoint. In the case of a positive decision, the VP/Dean will forward the recommendation to OAA for approval and transmission to the Board of Trustees for approval. In the case of a negative decision, the TIU will refer to the current charter document and the TIU's APT document for an appointment process. If an appointment process is not specified in either document, the Senior Associate Dean should be consulted for a process.

V. Annual Review Procedures

Every faculty member must have an annual written performance review. The TIU shall follow the requirements for annual reviews as set forth in the [Policy on Faculty Annual Review](#).

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

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below.

The TIU head is required (per Faculty Rule [3335-3-35](#)) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule [3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

A. Probationary Tenure-track Faculty

Every probationary tenure-track faculty member is reviewed annually by the head, who meets with the faculty member to discuss his or her performance, future plans, and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. The role of any other faculty in the annual review of probationary faculty must be described in the TIU's APT document and must be consistent with College and University rules.

If the TIU head recommends renewal of the appointment, this recommendation is final. The TIU head's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The unit head's letter (along with the faculty member's comments, if received) is forwarded to the VP/Dean. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

If the unit head recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-04](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the College for review and the VP/Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

1. Fourth-Year Review

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

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

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

The eligible faculty forwards a record of the vote and a written performance review to the TIU head. The TIU head conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the unit review, the formal comments process (per Faculty Rule [3335-6-04](#)) is followed and the case is forwarded to the College for review, regardless of whether the TIU head recommends renewal or nonrenewal.

2. Exclusion of time from probationary period

Faculty Rule [3335-6-03](#) (D) sets forth the conditions under which a probationary tenure-track faculty member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs [Policies and Procedures Handbook](#).

B. Tenured Faculty

Every tenured faculty member must be reviewed annually following the procedures of the TIU of the faculty member and in alignment with the CFAES guidelines for faculty rewards associated with annual performance review.

C. Clinical Faculty

Every clinical (professional practice) faculty member must be reviewed annually following the unit's approved procedures.

In the penultimate contract year of a clinical faculty member's appointment, the TIU head must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review proceeds according to procedures detailed in the unit's APT document and consistent with College and University rules. There is no presumption of renewal of contract.

D. Research Faculty

Every research faculty member must be reviewed annually following the unit's approved procedures.

In the penultimate contract year of a research faculty member's appointment, the TIU head must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review proceeds according to procedures detailed in the unit's APT document and consistent with College and University rules. There is no presumption of renewal of contract.

E. Associated Faculty

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The TIU head, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. The unit head's recommendation on renewal of the appointment is final. If the recommendation is to renew, the unit head may extend a multiple year appointment.

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

VI. Merit Salary Increases and Other Rewards

A. Criteria

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

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

Meritorious performance in teaching (including extension teaching), research, and service are assessed in accordance with the same criteria that form the basis for promotion decisions, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

B. Procedures

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

Faculty members who wish to discuss dissatisfaction with their salary increase with the TIU head should be prepared to explain how their salary (rather than the increase) is inappropriately low, since increases are solely a means to the end of an optimal distribution of salaries.

C. Documentation

Documentation is expected of all faculty members as part of the annual review procedure. Specific documentation requirements in the areas of teaching, research, and service are to be determined by the TIU. The annual performance review of every faculty member requires that all such documentation described below, including the two summary documents, be submitted

to the TIU head in accordance with unit deadlines. The summary documents are: (1) an updated CV, which will be made available to all faculty in an accessible place; and (2) an updated dossier prepared according to the Office of Academic Affairs dossier outline.

Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.

Under no circumstances should faculty solicit evaluations from any party for purposes of the annual review, as such solicitation places its recipient in an awkward position and produces a result that is unlikely to be candid.

1. Teaching

Teaching excellence is fundamental to the mission of the College of Food, Agricultural, and Environmental Sciences. CFAES expects outstanding commitment to and demonstrated performance in enhancing the learning of our students whether they are enrolled in classes for credit or are learners in Extension learning situations.

It is expected that every faculty member abides by University rules that require students in every class to be afforded a formal opportunity to provide feedback on the quality of instruction they have received. Probationary faculty must use the SEI (extension instructors must use the EEET). SEIs and EEETs may be augmented with instructor designed instruments.

Furthermore, probationary faculty are to receive systematic peer review following provisions outlined in each TIU's appointments, promotion, and tenure document. Each TIU, as a part of their evaluation of quality of teaching, must complete a comprehensive assessment including quantitative and qualitative elements and as specified in their appointments, promotion and tenure document.

Among other areas of assessment, the College expects faculty with teaching responsibilities to be assessed on the following dimensions of teaching effectiveness (credit generating instruction and outreach instruction):

- mastery of the subject matter;
- continuous growth in subject matter knowledge;
- ability to organize and communicate class material with logic, conviction, and enthusiasm; objectivity;
- contributions to curricula or program development
- creativity in course or program development, methods of presentation and incorporation of new materials and ideas;
- capacity to enhance students' awareness of the relationship between subjects studied, important problems, and other fields of knowledge;
- advising undergraduates, graduate students and extension clientele;
- directing graduate and undergraduate research programs.

In addition to the above, the following dimensions of teaching performance are expected of Extension teachers:

- an understanding of the needs for knowledge by outreach students/clients/users;
- the ability to communicate effectively with outreach students;
- the ability to anticipate the "teachable moment" regarding the needs of outreach students and to respond with appropriate educational activities.

In addition, performance in extension teaching is evaluated in terms of:

- the development and delivery of outreach education programs;
- changed practices, policies or behavior from outreach education;
- the development of teaching materials; and
- extension publications and juried presentations.

2. Research

All candidates for tenure and promotion must demonstrate clear excellence in research. The nature and extent of their contribution will be commensurate with their assigned responsibilities, the amount of time allocated for research, and the extent to which they have resources available to support their research. Hence, the nature and scope of their scholarly output may vary. However, for all candidates, their research scholarship must be adequate for the expectations assigned and above all of sufficiently high quality to indicate excellent performance.

Excellence is indicated by the validation of candidates' work by their peers, particularly in settings where peer reviewers and editors decline to publish all submissions due to competition for limited publication space. Typical sources of such validation include publication in peer-reviewed journals, acceptance of peer reviewed papers, publications of scholarly books, publication of peer-reviewed extension publications, awarding of peer-reviewed grants, invited presentations, patents awarded and prestigious awards received. Recognition will also be given to non-traditional kinds of research scholarship when it is validated by peers and shared with others. In such cases, it is incumbent on the candidate to document the quality indicators of such contributions. In addition, each TIU will clearly outline minimal research expectations for tenure and advancement in rank.

CFAES values interdisciplinary and team-based scholarship. Such contributions will be recognized. Candidates must document the nature and extent of their contributions in the context of the total team so that colleagues can accurately value their individual contribution to the outcome of the group.

3. Service

All faculty members are expected to contribute actively to the governance of their TIU, the College and the University. Service activities include serving on such committees as the TIU head, VP/Dean, provost or president may assign as well as committees to which one has been elected by his/her colleagues; serving in supportive administrative roles

such as program direction, when asked; serving the profession through such activities as service as an officer on the board of a professional organization or journal (including editor roles), or participation in organizing a symposium; representing the University in service to the nonacademic community; serving in special roles in the community by extension personnel such as with commodity groups, community development groups, youth support groups, etc. When a candidate shows special ability in service, it should be part of the consideration during tenure review, but such special ability will not relieve the candidate of demonstrating excellence in teaching and research.

VII. Promotion and Tenure and Promotion Reviews

A. Criteria

Faculty Rule [3335-6-02](#) provides the following context for promotion and tenure and promotion reviews:

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

Within the College of Food Agricultural and Environmental Sciences, teaching may include classroom and extension teaching, and research includes studies in pedagogy of classroom and/or extension teaching as well research in the candidate's area of specialization.

1. Promotion to Associate Professor with Tenure

Faculty Rule [3335-6-02](#) provides the following general criteria for promotion to associate professor with tenure:

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

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

The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and judge that the candidate demonstrates an upward trajectory of productivity and to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the TIU's academic mission at a high level for the duration of their time at the University. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. If, for example, a candidate's primary teaching role is and will continue to be extension teaching, then excellence in extension teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching or research that is a significantly smaller part of the individual's responsibilities.

Excellence in teaching, research, and service is moreover defined to include professional ethical conduct in each area of responsibility, consistent with the [American Association of University Professors' Statement on Professional Ethics](#).

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

a) Teaching

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

- provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge;
- demonstrated the ability to organize and present material effectively with logic, conviction, and enthusiasm;
- demonstrated creativity in the use of various modes of instruction, instructional technology, and other teaching strategies to create an optimal learning environment;
- engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process;
- provided appropriate and timely feedback to students throughout the instructional process;
- treated students with respect and courtesy;
- improved curriculum through revision or new development of courses and/or academic programs;
- served as advisor to an appropriate number of undergraduate and/or graduate students given the TIU's student/faculty ratio and the faculty member's area(s) of expertise; and
- engaged in documentable efforts to improve teaching.

In addition to the above, extension teachers promoted to associate professor with tenure are expected to document the following:

- an understanding of the needs for knowledge by outreach students/clients/users;
- effective communications with outreach students; and
- the ability to respond to 'teachable moments' with appropriate educational activities.

In addition to the above, the following dimensions of teaching performance are expected of extension teachers:

- an understanding of the needs for knowledge by outreach students/clients/users;
- the ability to communicate effectively with outreach students; and
- the ability to anticipate the "teachable moment" regarding the needs of outreach students and to respond with appropriate educational activities.

In addition, performance in extension teaching required for promotion to associate professor with tenure must document excellence in:

- the development and delivery of outreach education programs;
- the development of teaching materials; and
- extension publications and juried presentations.

b) Research

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

published a body of work in high-quality peer-reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:

- quality, impact, quantity, originality;
- unique contribution to a line of inquiry or repackaging of earlier work;
- rigor of the peer-review process and degree of dissemination of publication venues (archival journal publications and monographs are weighted more heavily than conference proceedings, published scholarship more than unpublished scholarship, and original works more than edited works);
- and
- collaborative work, including interdisciplinary and team-based research, is valued, and indeed is essential to some types of inquiry. The candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.

a demonstrated ability to obtain and potential to sustain research program funding sufficient to sustain the effectiveness of the candidate's research program.

a developing regional/national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.

Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

c) *Service*

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

made substantive contributions to the governance structure and/or committees of the TIU or at other institutional levels (e.g., College, The Ohio Agricultural Research and Development Center [OARDC], University) in a manner that facilitates positive contributions by others, and demonstrated contributions to the profession or the public.

2. *Promotion to Professor*

Faculty Rule [3335-6-02](#) establishes the following general criteria for promotion to the rank of professor:

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

The specific criteria in teaching, research, and service for promotion to professor are similar to those for promotion to associate professor with tenure, with the added expectation of sustained accomplishment and quality of contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field.

When assessing a candidate's national and international reputation in the field, a national and international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

In addition, as further specified by Faculty Rule [3335-6-02](#), assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another.

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

3. Clinical Faculty

Candidates for promotion must have an earned doctorate or terminal degree (e.g., DVM) in the relevant field of study or equivalent professional experience as required for appointment. Promotion to the rank of Associate Professor or Professor of Professional Practice must involve clear evidence that the candidate has met or exceeded the standards established by the appointing unit for advancement to the designated rank as detailed in the unit's APT document. At a minimum, the candidate must have demonstrated sustained excellence in teaching and practicum supervision as evidenced by student and peer evaluations of instruction. Excellence in service to the appointing unit, FAES, the University, the profession, and supporting industries is also expected.

4. Research Faculty

Promotion to Research Associate Professor. For promotion to research associate professor, a faculty member must have a substantial record of high-quality focused research consistent with an appointment devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged by external evaluators as having substantial positive impact on the field. A record of continuous peer reviewed funding is required along with evidence of a growing national reputation.

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

B. Procedures

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

[and Procedures Handbook](#). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the TIU.

1. Candidate Responsibilities

The responsibilities of the candidate are as follows:

To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

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

To review the list of potential external evaluators developed by the TIU head and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The TIU head decides whether removal is justified. (Also see External Evaluations below.)

2. TIU Promotion and Tenure Committee Responsibilities

The responsibilities of a TIU's Promotion and Tenure Committee are as follows:

To review its unit's Appointments, Promotion, and Tenure document annually and to recommend proposed revisions to the faculty.

To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.

The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.

A tenured faculty member may only be denied a formal promotion review under Faculty Rule [3335-6-04](#) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite

incomplete documentation, the individual should be advised that such a review is unlikely to be successful.

Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the TIU head that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this TIU.

A decision by the committee to permit a review to take place in no way commits the eligible faculty, the TIU head, or any other party to the review to making a positive recommendation during the review itself.

Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.

Late Spring: Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who heads the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.

Late Spring: Suggest names of external evaluators to the TIU head.

Early Autumn: Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions (such as a journal article acceptance after the initial dossier submission) are made in the dossier before the formal review process begins.

Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.

Draft an analysis of the candidate's performance in teaching, research and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.

Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the TIU head.

Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.

Provide a written evaluation and recommendation to the TIU head in the case of joint appointees whose tenure-initiating unit is another TIU. The full eligible faculty does not vote on these cases since the TIU's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this TIU's cases.

3. Eligible Faculty Responsibilities

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

To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.

To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

4. TIU Head Responsibilities

The responsibilities of the TIU head are as follows:

Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this TIU.

Late Spring Semester: To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the TIU head and the candidate. (Also see External Evaluations below.)

To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.

To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.

To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.

Mid-Autumn Semester: To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.

To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.

To inform each candidate in writing after completion of the TIU review process of the recommendations by the eligible faculty and TIU head, the availability for review of the written evaluations by the eligible faculty and TIU head, and the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the TIU head, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the TIU head, indicating whether or not he or she expects to submit comments.

To provide a written response to any candidate comments that warrant response for inclusion in the dossier.

To forward the completed dossier to the VP/Dean's office by that office's deadline, except in the case of associated faculty for whom the TIU head recommends against promotion. A negative recommendation by the TIU head is final in such cases.

To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the TIU head's independent written evaluation and recommendation, to the TIU head of the other tenure-initiating unit by the date requested.

5. External Evaluations

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

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

Is written by a person highly qualified to judge the candidate's research (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This TIU will only solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an evaluator on the merits of the case.

Since the TIU cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the TIU head, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this TIU requires that the dossier contain letters from evaluators suggested by the candidate.

The TIU follows the Office of Academic Affairs [suggested format](#) for letters requesting external evaluations.

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

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

C. [Documentation](#)

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

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

Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.

Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

1. Teaching

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present. Required documentation includes:

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

2. Research

The time period for material included in the dossier for probationary faculty is the date of hire to the present unless otherwise documented in an OAA approved offer letter. For tenured or nonprobationary faculty, it is the date of last promotion to present. Examples of documentation include:

copies of all books, articles, and scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.

documentation of grants and contracts received

other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted)

scholarship activities as listed in the core dossier including

documentation of creative works pertinent to the candidate's professional focus including artwork, moving images, multimedia, performances, radio, recordings, television, and websites

documentation of inventions, patents, disclosures, options and commercial licenses

list of prizes and awards for research, scholarly, or creative work

3. Service

The time period for material included in the dossier for probationary faculty is the date of hire to the present. For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of documentation include:

service activities as listed in the core dossier including

involvement with professional journals and professional societies

consultation activity with industry, education, or government

clinical services

administrative service to the TIU

administrative service to CFAES

administrative service to the University and Student Life

advising to student groups and organizations

awards and prizes for service to profession, University, or TIU

any available documentation (e.g. letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier

VIII. Appeals

Faculty Rule [3335-6-05](#) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05](#).

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

IX. Seventh-Year Reviews

Faculty Rule [3335-6-05](#) sets forth the conditions of and procedures for a Seventh-Year Review for a faculty member denied tenure as the result of a sixth-year (mandatory tenure) review.

X. Procedures for Student and Peer Evaluation of Teaching

A. Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (eSEI) is required in every residential instruction course offered in CFAES TIUs. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching. Evaluation of extension teaching should rely upon the Evaluation of Effective Extension Teaching (EEET) instrument or another valid instrument accepted by the TIU that is implemented systematically and administered according to best practices outlined by the TIU.

B. Peer Evaluation of Teaching

The TIU head oversees the TIU's peer evaluation of teaching process.

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

The responsibilities of the Peer Review of Teaching Committee are as follows:

- to review the teaching of probationary tenure-track and clinical faculty at least once per year during the first two years of service, and at least twice more before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned

- to review the teaching of tenured associate professors and nonprobationary associate professors of professional practice at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six year period and of having at least two peer reviews of teaching before the commencement of a promotion review

- to review the teaching of tenured professors and nonprobationary professors of professional practice at least once every four years with the goal of assessing

teaching at all the levels of instruction to which the faculty member is assigned during the year of the review

To review, upon the TIU head's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.

To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The TIU head is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [University Center for the Advancement of Teaching](#).

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

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

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