

**AGRICULTURAL, ENVIRONMENTAL, AND  
DEVELOPMENT ECONOMICS**

**CRITERIA AND PROCEDURES FOR APPOINTMENTS, PROMOTION,  
TENURE, AND SALARY ADJUSTMENTS**

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## I. PREAMBLE

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu>); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook (<http://oaa.osu.edu/handbook.html>); and other policies and procedures of the college and university to which the department and its faculty are subject.

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

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments, and its criteria and procedures for faculty promotion, tenure and rewards including salary increases. In approving this document, the dean and Office of Academic Affairs accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental mission and criteria.

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (<http://trustees.osu.edu>) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule 3335-6-02 (<http://trustees.osu.edu>) and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty. Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's policy on equal opportunity (<http://hr.osu.edu/policy/policy110.pdf>).

The department's objective is to achieve national and international recognition through excellence in all of its programs in the university, state and beyond. Each faculty member is expected to achieve national and international recognition through contributing to these programs. Each faculty member is expected to contribute to the intellectual life of the department and university. The criteria and standards of evaluation for faculty performance described in this document reflect this objective of national and international recognition. Performance evaluations are designed to determine the extent to which excellence is achieved.

Performance evaluations are used to make decisions concerning salary increases, promotion and the granting of tenure. Salary increments and promotion decisions depend on the quality of professional accomplishments as well as on the level of overall excellence. Tenure decisions are based on demonstrated excellence, but potential and sustainability of productivity are also considered. Merit, rather than years of service or location of service, is the basic standard in all decisions regarding salary, promotion, and tenure. AEDE believes that tenure and promotion decisions are best evaluated using a candidate's entire body of work.

Each faculty member in the department has a dual responsibility: to generate knowledge and to disseminate knowledge. Regardless of appointment distribution, faculty are expected to achieve excellence in both a teaching program (addressing students on the OSU campus and/or outreach students) and a research program. Complementing these two basic functions is a third responsibility: to provide professional expertise to the university community, our profession, and public and private entities beyond the university.

Because excellence in teaching, research and service can be difficult to assess, a variety of evaluation criteria are employed. The Department of Agricultural, Environmental, and Development Economics has found, as have other OSU departments, that some guidelines are more accurate indicators of excellence than others. Teaching quality is judged primarily on the basis of soundly conducted student surveys and peer evaluations. The primary indicators of a successful research program are recognition of excellence by peers, peer reviewed publications, methodological development and solutions to critical issues. Quality of service is judged primarily by those served.

Consistent with OSU policy, guidelines apply uniformly to each faculty member. Total expected annual accomplishments are the same for nine and eleven month appointments.

## **II. DEPARTMENT MISSION AND VISION**

### **a. Department Mission Statement:**

The mission of the Department of Agricultural, Environmental, and Development Economics is to generate knowledge and disseminate knowledge through application of economic and business principles to society's challenges.

### **b. Department Vision Statement:**

We strive continuously for high standards of scholarship and scientific objectivity in all our activities. We are committed to maintaining a strong undergraduate program with emphasis on agribusiness and a multi-disciplinary focus on the environment, economy development and sustainability. We aim to maintain a graduate program in applied economics that is internationally recognized. Through frequent interaction with our professional colleagues and economic decision-makers in the public and private sectors, we will ensure that our activities address key issues faced by our stakeholders.

## **III. APPOINTMENTS**

### **a. Tenure-track Faculty**

#### **i. Criteria**

This section establishes criteria for appointment to the assistant professor rank in the department. Criteria for appointment to higher ranks are specified in the criteria for promotion to those ranks discussed later in this document (See Section: REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION)

The department is bound by principles articulated in Faculty Rule 3335-6-02 (A): **Criteria for appointment, re-appointment, and promotion and tenure:** <http://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>. The minimum requirement for appointment to the assistant professor or higher rank in the department is an earned doctorate or other professional degree in a relevant field of study or possession of equivalent experience. Appointment at the instructor level will only be made when the offered appointment is “assistant professor”, but the desired appointee has not completed the required terminal degree at the onset of the appointment.

The department is bound by principles articulated in Faculty Rule 3335-6-03: **Probationary service, and duration of appointments for tenure-track faculty:** <http://trustees.osu.edu/university/facultyrules>.

Appointment as professor or associate professor will normally be with tenure. However, a probationary period, not to exceed four years, may be part of the appointment, as approved by the Office of Academic Affairs.

Appointment to assistant professor is always probationary and may not exceed six years, including prior service credit. An assistant professor will be reviewed for promotion and tenure within the six year probationary period and informed by the end of the evaluation year whether or not promotion with tenure is granted at the beginning of the next academic year (no later than seventh year). The sixth year review is a maximum. Upon request of the candidate and with approval of the chair, assistant professors can be reviewed for promotion and tenure at any time during the six-year period.

Appointment to the rank of instructor is always probationary and may not exceed three years. Instructors must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year.

## ii. Procedures

Upon receiving permission from the College to hire for a tenure track position, the department chair will appoint and the faculty will approve a search committee for the position. The committee will familiarize itself with and follow any college and university policies directing its activities. The committee will solicit and receive nominations from faculty and other interested parties or organizations.

A national search is required for tenure-track positions at any level unless the Office of Academic Affairs approves an exception requested by the department. Faculty will have full access to the list of nominees and will have the opportunity to advise the search committee. The committee will solicit and review applications from desirable candidates and present a short list of the best candidates for departmental approval as candidates for formal interviews.

Following each interview, the committee will solicit comments and evaluations regarding each candidate from faculty and other interested persons. Subsequent to the completion of the interviews, the search committee will report its recommendation at a faculty meeting. The faculty will vote on the recommendation at that meeting. The vote will be advisory to the chair. The chair will make a recommendation to the Dean. The department chair will make the formal offer to the selected candidate.

Offers of associate professor or professor rank, with or without tenure, and offers of prior service credit require prior approval of the Office of Academic Affairs. Offers to foreign nationals require prior consultation with the Office of International Affairs.

## **b. Professional Practice Faculty**

### **i. Criteria**

The department recognizes the following professional practice faculty appointments. Non-tenure track faculty may exceed no more than twenty-percent of tenure-track faculty in total.

#### **1. Professional Practice Faculty**

In accordance with faculty rule 3335-7: <http://trustees.osu.edu/university/facultyrules>, professional practice faculty members develop and advance academic programs within AEDE in a variety of ways. Professional practice faculty shall be engaged primarily in teaching activities related largely to courses or instructional situations involving professional skills and will teach AEDE courses assigned by the chair. Professional practice faculty in FAES 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 department's AP&T document. For reference, professional practice faculty members are referred to as clinical faculty members in OAA governance documents.

Professional practice faculty may participate fully in matters of governance and committee service at the college and department level, except they may not (1) vote on promotion or tenure cases concerning tenure-track faculty or (2) serve on the Performance Evaluation Advisory Committee (PEAC).

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, a professional degree (e.g., MBA) or profession certification (e.g., CPA) in a relevant field. Promise of excellence in service and professional accomplishment is expected.

Associate Professor and Professor of Professional Practice. In addition to requirements defined for the rank of Assistant Professor of Professional Practice, a substantial record of outstanding teaching, student advising and mentoring, and curriculum development that meets or exceeds expectations for a tenure-track faculty appointment at that level must be demonstrated. External hires at the Associate Professor or Professor of Professional Practice levels must demonstrate the same accomplishments in teaching and service as persons promoted within the university and have documented professional practice experience and accomplishments in their field of expertise equivalent to the level of distinction that Associate Professors or Professors accomplish within the tenure track system.

### Application and Appointment

Application: Searches for professional practice 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 exceptions to a national search only requires approval by the college dean. Any application will normally consist of (1) a letter describing the intended teaching and training contributions to the department, (2) a statement of courses the candidate is able to teach and the programs the candidate could develop and offer to students, for example as internships or capstone experiences, and/or to stakeholders as continuing education opportunities, (3) a complete CV, (4) letters of recommendation, (5) Evidence of teaching effectiveness, and (6) A statement of teaching philosophy.

The application will initially be reviewed by a committee appointed by the chair. Following a positive recommendation from the appointed committee, the candidate shall complete an interview process that emphasizes the candidate's teaching and mentoring qualifications. As soon as possible following the interview, the tenure-track and professional practice faculty will meet to discuss the strengths and weaknesses of the candidate and to conduct a vote. A report of the proceedings will be submitted to the chair, who will consult the report when deciding whether to proceed with an appointment.

Appointments of professional practice faculty are negotiated by the department chair.

(A) Contracts will be for a period of at least three years and for no more than five years, as negotiated by the department chair and the appointee.

(B) The initial contract is probationary and a professional practice faculty member will be informed by the end of each probationary year as to whether he or she will be reappointed for the following year. By the end of the second to final year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of

employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

(C) During and until the end of the second and subsequent contract periods, professional practice appointments may only be terminated for cause (see rule 3335-5-04 of the Administrative Code, <http://trustees.osu.edu/university/facultyrules>), or financial exigency (see rule 3335-5-02.1 of the Administrative Code, <http://trustees.osu.edu/university/facultyrules>), and the termination decision for either of these reasons shall result from procedures established by faculty rules. In addition, a contract may be renegotiated during a contract period only with the voluntary consent of the professional practice faculty member. By the end of the penultimate year of each contract period, the clinical faculty member will be informed as to whether a new contract will be extended at the conclusion of the current contract period. If a new contract is not extended, the final year of the current contract is a terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

(D) The standards of notice set forth in rule 3335-6-08 of the Administrative Code: <http://trustees.osu.edu/university/facultyrules>, apply to professional practice faculty appointments.

Appointments as Associate Professor or Professor of Professional Practice require approval by the Dean of the College of Food, Agricultural and Environmental Sciences and the Office of Academic Affairs. The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the department and all non-probationary clinical faculty of equal rank to or higher than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

Transfers from the tenure-track or research track appointment to a Professional Practice appointment are permitted according to Faculty Rules 3335-7-38: <http://trustees.osu.edu/university/facultyrules>, but a transfer from the Professional Practice track to the tenure track is not permitted unless the candidate successfully competes in a national search for a tenure-track position Rules 3335-7-39: <http://trustees.osu.edu/university/facultyrules>. For the former situation, a tenure-track or research track faculty member must submit a written request that clearly states how her/his goals and activities have changed, and provide

clear evidence of experience. When transferring to the Professional Practice track, tenure is relinquished. The chair, the Dean of the College of Food, Agricultural and Environmental Sciences, and the provost, must approve a transfer.

## 2. Research Faculty:

The annual review process for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty.

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

Research faculty shall be engaged primarily in research activities and are expected to establish a nationally and internationally recognized research portfolio that is 1) high quality, 2) able to attract external funding to self-sustain the position with a general expectation of self-funding of the position. Appointment of regular research track faculty entails one-to five-year contracts. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to regular research track faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period.

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

## 3. Research Assistant Professor:

### Criteria

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.

Assistant Research Professor. Appointments at the rank of Assistant Research Professor requires clear evidence of subject matter expertise in the area of specialization, and the ability to attract funding to support the research portfolio, including some or all of the faculty member's salary, and the ability

to publish the research output in high quality peer-reviewed outlets. Associate Research Professor and Research Professor. In addition to requirements defined for the rank of Assistant Research Professor, a substantial record of publication, extramural funding and national and international recognition at or exceeding that for a regular tenure-track faculty appointment at that level must be demonstrated. External hires at the Associate Research Professor or Research Professor levels must demonstrate the same accomplishments in research and service as persons promoted within the university and have documented research experience and accomplishments in their field of expertise equivalent to or exceeding the level of distinction that Associate Professors or Professors accomplish within the tenure track system.

### Application and Appointment

Application: 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 exceptions to a national search only requires approval by the college dean. Any application will normally consist of (1) a letter describing the intended research contributions to the department, (2) a statement of success in or plans for attraction of external funding to support the position, (3) a complete CV, and (4) letters of recommendation.

The application will initially be reviewed by a committee appointed by the chair. Following a positive recommendation from the appointed committee, the candidate shall complete an interview process that emphasizes the candidate's research qualifications. As soon as possible following the interview, the tenure-track, research faculty will meet to discuss the strengths and weaknesses of the candidate and to conduct a vote. A report of the proceedings will be submitted to the chair, who will consult the report when deciding whether to proceed with an appointment.

Appointments of research faculty are negotiated by the department chair.

- (A) Contracts will be for one to five as negotiated by the department chair and the appointee.
- (B) Contracts are expected to set expectations for non-departmental funding of the salary and research support for the position. An initial phase-in period of 'hard' money can be negotiated, but the general expectation is that the position will be primarily self-funded no later than year three of the initial contract.
- (C) The initial contract is probationary and a research faculty member will be informed by the end of each probationary year as to whether he or she will be reappointed for the following year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. In the event that a new contract is not extended, the final year of the probationary contract is

the terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

- (D) During and until the end of the second and subsequent contract periods, research faculty appointments may only be terminated for cause (see Faculty Rule 3335-5-04 of the Administrative Code: <http://trustees.osu.edu/university/facultyrules>), or financial exigency (see Faculty Rule 3335-5-02.1 of the Administrative Code: <http://trustees.osu.edu/university/facultyrules>), and the termination decision for either of these reasons shall result from procedures established by faculty rules. In addition, a contract may be renegotiated during a contract period only with the voluntary consent of the research faculty member.
- (E) The standards of notice set forth in Faculty Rule 3335-6-08 of the Administrative Code: (<http://trustees.osu.edu/university/facultyrules>), apply to research faculty appointments.

Appointments as Associate Research Professor or Research Professor require approval by the Dean of the College of Food, Agricultural and Environmental Sciences and the Office of Academic Affairs.

Transfers from the tenure-track or Professional Practice appointment to a Research appointment are permitted according to Faculty Rules 3335-7-38: <http://trustees.osu.edu/university/facultyrules>, but a transfer from the Research track to the tenure track is not permitted unless the candidate successfully competes in a national search for a tenure-track position set forth in Faculty Rule 3335-7-39: <http://trustees.osu.edu/university/facultyrules>. For the former situation, a tenure-track or professional practice track faculty member must submit a written request that clearly states how her/his goals and activities have changed, and provide clear evidence of experience. When transferring to the research track, tenure is relinquished. The chair, the dean of the College of Food, Agricultural and Environmental Sciences, and the provost, must approve a transfer.

#### 4. Associated Faculty

Associated faculty includes lecturers, senior lecturers, faculty with regular titles below 50 percent, and visiting faculty. Visiting faculty appointments, reserved for individuals on leave from other academic institutions and temporary faculty, may not exceed three continuous years. Faculty appointments may be at the assistant, associate or professor rank. Criteria for appointment and performance as compensated associated faculty, other than lecturers, will be the same as for appointment to regular tenure track faculty and will serve as the basis for evaluation for promotion, in the event it is desired. No-salary associated faculty include adjunct faculty and faculty with regular titles at zero percent time and may also include visiting faculty. No-salary appointments are made only if the appointee is expected to

contribute to the academic mission of the department. Independent or collaborative teaching, research and/or service that enhances departmental excellence is expected of each no-salary appointee.

Associated appointments may be made for no more than three years at a time, and may be renewed subject to review.

Appointment of compensated or no-salary appointments in the department require the chair to consult with appropriate faculty and administrators before bringing a recommendation to the faculty for approval. The chair or designated faculty will prepare and present the case for appointment to the faculty. Salaried and adjunct appointments require the prior approval of college administrators and it is inappropriate for the department to extend an offer before receiving that approval.

Associated Faculty appointments must be evaluated and re-approved or terminated by a faculty vote on an annual basis.

## 5. Courtesy Appointments

### Criteria

A courtesy no-salary joint appointment in the department is available to and reserved for regular faculty from other tenure initiating units at The Ohio State University. Faculty granted this appointment are expected to participate in the department's teaching, research and/or service program. Courtesy appointments will be reviewed annually and continued only if it is determined that the appointee contributes to the mission of the department.

### Procedures

Courtesy appointments will require a letter of request (solicited or unsolicited) from faculty requesting the appointment. The department chair will present the request at a regularly scheduled faculty meeting for discussion and approval or denial. Courtesy appointments must be evaluated and re-approved or terminated by a faculty vote on an annual basis.

## IV. Annual Reviews

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

The annual reviews of every faculty member are based on expected performance in teaching, scholarship, and service as set forth in the department's 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. This material must be submitted to the department chair no later than the final day of autumn semester classes.

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

**a. Procedures: Probationary Tenure-track Faculty**

The department is bound by Faculty Rule 3335-6-03 (A) and (B): <http://trustees.osu.edu/university/facultyrules> (Probationary service, duration of appointments for tenure-track faculty) as well as by Office of Academic Affairs policies described in the *Office of Academic Affairs Policies and Procedures Handbook* <http://oaa.osu.edu/policiesprocedureshandbook.html>.

At the time of appointment and at any subsequent time policies and procedures are changed, probationary faculty will be provided with all department, college and university documents pertinent to promotion, tenure and criteria.

Every probationary tenure-track faculty member is reviewed annually by the chair, 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 faculty member will provide the department chair with an updated CV and a report of activities and accomplishments for the previous year and plan for the year ahead. The chair will seek input from the Administrative Team and the advice of the Performance Evaluation Advisory Committee in evaluating faculty performance. Annual performance evaluations will serve as input for reappointment and salary adjustment recommendations.

If the department chair recommends renewal of the appointment, this recommendation is final. The department chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The department chair's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. 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 department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-04 [<http://trustees.osu.edu>]) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

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

External evaluations are only solicited when either the department chair or the 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 ballot on whether to renew the probationary appointment.

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

#### Exclusion of Time from Probationary Period

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

#### **b. Procedures: Tenured Faculty**

The departmental annual review process is bound by the *Office of Academic Affairs Policies and Procedures Handbook* <http://oaa.osu.edu/policiesprocedureshandbook.html>.

Each faculty member will have an annual performance review. The faculty member will provide the department chair with an updated CV and a report of activities and accomplishments for the previous year and plan for the year ahead. The chair will seek input from the Administrative Team and the advice of the Performance Evaluation Advisory Committee in evaluating faculty performance.

The department chair will meet individually with every faculty member annually to discuss the faculty member's performance and develop an annual Statement of Responsibilities and Plan of Work in accordance with the College document *Faculty Reward System Guidelines for Annual Performance Review, Promotion and Tenure*. Annual evaluations of performance are relative to the effective appointment and responsibilities specified in the Annual Statement of Responsibilities and Plan of Work. The department chair will provide written feedback annually to every tenured faculty member regarding performance. This feedback can and should precede the notification of any raise in salary whenever possible.

Criteria for annual salary recommendations are clearly stated in the next section of this document and recommendations are based on these criteria.

The annual review letter will include a reminder that the faculty member may review her/his departmental personnel file and, as per Faculty Rules 3335-5-04:

<http://trustees.osu.edu/university/facultyrules>, may place in that file a response to any evaluation, comment or other material contained in the file.

**c. Procedures: Professional Practice Faculty**

The annual review process for professional practice probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty respectively.

In the penultimate contract year of a clinical faculty member's appointment, the department chair 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 (<http://trustees.osu.edu>) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

**d. Procedures: Research Faculty**

The annual review process for research probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty.

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

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

**e. Procedures: Associated Faculty**

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the department chair, or designee. The department chair, or designee, prepares

a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department chair's recommendation on reappointment is final.

## V. 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, scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 36 months, 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 Administrative Team will meet with the department chair to provide input for the performance evaluation of each faculty member. The department chair will then prepare a preliminary rating of the performance of each faculty member. The Performance Evaluation Advisory Committee will review the preliminary ratings and advise the chair, who will then finalize the performance ratings and use them as input for salary adjustment recommendations to the Dean.

### c. Documentation

The primary evidence for determining appropriate salary adjustments will be the updated CV, annotated to highlight activities and accomplishments for the previous year and plan for the year ahead due from each faculty member on a date specified by the chair. Faculty members can provide a supplemental document to highlight accomplishments or document quality that does not appear in the annotated CV.

## VI. REVIEWS FOR PROMOTION AND TENURE AND FOR PROMOTION

The department is bound by Faculty Rule 3335-6-02 (D): <http://trustees.osu.edu/university/facultyrules>, to ensure reasonable flexibility when evaluating qualifications in teaching, scholarship, and service.

In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing where the case requires, heavier commitments or administratively assigned responsibilities in one area against lighter commitments and responsibilities in another. Because faculty will ordinarily have major assigned commitments and responsibilities in teaching (including outreach/extension) and/or scholarship (mainly research), more weight will be attached to the dominant area(s) when evaluating performance.

As faculty enter and/or place new emphasis on new fields of work, including interdisciplinary endeavor, instances will arise in which work of the faculty member may depart from established academic patterns. In such cases, care must be taken to apply criteria with appropriate flexibility. In all cases, intellectual excellence is essential for promotion to tenured positions.

### a. **Criteria: Promotion to Rank of Associate Professor with Tenure**

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

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

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

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

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the department's ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by

excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities.

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

Work at previous institutions and/or prior to the date of appointment to the tenure track will be considered as part of the candidate's body of work. Emphasis will be placed on productivity since the appointment at Ohio State to the extent that it demonstrates continuing productivity. Tenure and promotion are based on the candidate's body of work and demonstration of promise for sustained productivity.

Excellence in teaching is demonstrated by effective performance in resident instruction and/or extension/outreach education, in scholarship by high quality and quantity of research, and in service by work done or duties performed for others relevant to the mission of the department, college and university.

**b. Criteria: Promotion to Rank of Professor**

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

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

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

**c. Procedures**

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

**d. General Procedures**

All candidates for promotion and tenure will be reviewed by eligible faculty and by the chair of the department and will also be reviewed at the college and university levels. The department chair will notify the candidate of the recommendation at each step of the review, as well as inform the candidate in writing of the provost's final decision (if negative) or recommendation to the board of trustees (if positive).

The department establishes no specific time for promotion from assistant to associate or from associate to full professor. In accordance with Faculty Rule 3335-6-03 (B): <http://trustees.osu.edu/university/facultyrules>, an assistant professor is reviewed for promotion no later than the sixth year of appointment as assistant professor. As promotion and tenure is based on the full body of work and the promise of sustained productivity, the department can and will include outputs arising during or from prior employment in their consideration. Emphasis will be placed on productivity in the current appointment in demonstrating the potential for sustained productivity.

A faculty member may ask to be considered for promotion and tenure review or for promotion review at any time; however, the department's Performance Evaluation Advisory Committee (PEAC) may decline the request if the candidate's accomplishments are judged not to warrant such review. The request by a tenured faculty member may not be denied by PEAC for one year.

Only the candidate may stop any review for promotion and tenure once external letters of evaluation have been sought. The candidate may withdraw from review at any stage of the process by so informing the department chair in writing. If the review process has moved beyond the department, the chair shall inform the Dean of the candidate's withdrawal.

**e. Departmental Review Procedures**

**i. Review Procedures for Tenure-track Faculty**

**Candidate Responsibilities:**

- 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 department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.
- To review the list of potential external evaluators developed by the department chair 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 department chair decides whether removal is justified. (Also see External Evaluations below.)

**Eligible Faculty, as Reviewers:**

With the exception noted below, eligible faculty are tenured departmental faculty of higher rank than the candidate, excluding the departmental chair. For tenure reviews of probationary professors, eligible faculty are tenured departmental professors, excluding the department chair.

If, in the opinion of the Performance Evaluation Advisory Committee and with chair concurrence, a close professional or personal relationship gives rise to a conflict of interest for a potential eligible faculty reviewer, that reviewer will not participate in the review of that candidate. The reviewer also will not be counted as an eligible member for the purposes of establishing quorum for faculty votes.

**Performance Evaluation Advisory Committee:**

The Department Performance Evaluation Advisory Committee (PEAC) (as defined in the department's Pattern of Administration document) will present the case for promotion and tenure to eligible faculty for their consideration.

**Responsibility:**

The department chair will annually solicit, from all faculty, requests and suggestions of names of faculty members to be reviewed for promotion in rank or for non-mandatory review for promotion and tenure. Individual faculty members may submit a request on their own behalf at any time.

- PEAC will screen requests and jointly with the department chair determine the advisability of pursuing the request. The chairman will so advise the candidate.
- A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 (<http://trustees.osu.edu>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite

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

The chair of PEAC is responsible for gathering internal evidence of the quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service from students and peers.

PEAC will verify the accuracy of citations and other aspects of the candidate's dossier.

The department chair is responsible for obtaining letters from internal and external evaluators. None of the reviewers should have a close personal or professional relationship with the candidate. The candidate may suggest the names of up to five evaluators. Others will be suggested by the department chair and/or PEAC. The final list of evaluators will be determined by the department chair, with concurrence of PEAC. The letters of evaluation will meet requirements specified in the most recent "Guidelines and Procedures for the Promotion and Tenure of Regular Faculty and for the Promotion of Regular Clinical and Auxiliary Faculty," issued by the Office of Academic Affairs.

The department chair, no less than three months before the candidate's dossier is scheduled for faculty review, will contact evaluators and provide each with samples of the candidate's professional work and the candidate's CV. Evaluators will be asked to assess the candidate's published scholarship and reputation within the scholarly peer community. Evaluators will be explicitly asked not to comment or recommend re the specific promotion and/or tenure decision under consideration.

All (at least five) solicited letters that are received will be included in the dossier. No more than one-half of the letters of evaluation contained in the final dossier should be from persons suggested by the candidate.

The candidate can request to meet with the chair of PEAC to present his/her case and to seek clarification of the dossier. The chair is under no obligation to meet with the candidate. Alternatively, the individual can request individual PEAC members to review their dossier, although individual PEAC members are under no obligation to do so.

Completed dossiers will be made available to the faculty electronically. The PEAC will conduct a meeting of the eligible faculty, present the case for promotion and/or tenure, and provide opportunity for thorough discussion. A quorum will consist of seventy percent of the eligible faculty. Eligible faculty can attend the meeting via teleconference. Only eligible faculty who attend the meeting can vote. Individual votes can be recorded by secret ballot or electronically. Seventy percent of the

voting eligible faculty must vote positively for the faculty report to carry a positive recommendation for promotion or for promotion and tenure for the candidate.

The PEAC will prepare a report of the faculty assessment, including strengths and weaknesses, the numerical vote of the eligible faculty, and forward it to the department chair for inclusion in the dossier. In the report, the PEAC will document the body of work used in the assessment, including any work from employment prior to the current appointment. As noted above, such work can be included in the assessment of the candidate's body of work.

The department chair will prepare and include in the dossier a separate written assessment of the case and recommendation to the Dean. In the report, the chair will document the body of work used in the assessment, including any work from employment prior to the current appointment.

As soon as the faculty report and chair's letter have been completed, the department chair will notify the candidate in writing of the completion of the tenure initiating unit review and of the availability of these reports. The candidate may request a copy of these reports.

The candidate may provide the chair with written comments on the departmental review for inclusion in the dossier within ten calendar days of notification of the completion of the review.

The PEAC and/or the chair may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the departmental level review is permitted.

The department chair will forward the dossier with all internal and external evaluations, candidate comments on the tenure initiating unit review and performance evaluation advisory committee and/or chair responses to those comments, if any, to the dean of the college.

## **ii. Review Procedures for Professional Practice and Research Faculty**

In the penultimate contract year of a Professional Practice or Research faculty member's appointment, the chair must determine whether the position held by the faculty member will continue. If it will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08: <http://trustees.osu.edu/university/facultyrules> 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. The Professional Practice or Research faculty member will submit a reappointment package consisting of (1) an updated CV with changes to the CV achieved during the most recent appointment highlighted, (2) a summary of accomplishments achieved during the most recent appointment that should not exceed two pages. In addition,

- Professional Practice faculty members will supply a compendium of SEI's and other relevant objective and peer review evaluations of instructional activity.
- Research Faculty will supply a statement of research quality and impact.

With consultation from faculty, the department chair will consider the materials submitted by the Professional Practice faculty member and the annual reports and reviews when deciding reappointment.

The faculty member will be informed of the reappointment decision by the end of the penultimate year of each contract period. If the contract is not extended, standards of notice set forth in Faculty Rule 3335-6-08: <http://trustees.osu.edu/university/facultyrules> must be observed. There is no presumption that subsequent contracts will be awarded, regardless of performance, and terms of the contract may be re-negotiated before re-appointment.

Professional Practice or Research Faculty seeking promotion must have an earned doctorate or appropriate terminal degree in the relevant field of study and must submit a promotion package that consists of the same materials as a reappointment package except the two-page summary of accomplishments is replaced with a three-page summary of accomplishments and documentation of sustained excellence.

- Promotion to the rank of Associate Professor or Professor of Professional Practice must have demonstrated sustained excellence in teaching and student development 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. For promotion, Professional Practice Faculty members are expected to at least meet the criteria for excellence in teaching set forth below for all faculty. Additional benchmarks for promotion may be negotiated between the candidate and the chair at the time of appointment or re-appointment, and will vary on a case-by-case basis with the professional expertise of the candidate and the needs of the department.
- Promotion to the rank of Associate Research Professor or Research Professor must have demonstrated sustained excellence in scholarship. Excellence in service to the appointing unit, FAES, the university, the profession, and supporting industries is also expected. For promotion, Research Faculty members are expected to at least meet the criteria for excellence in scholarship set forth below for all faculty. Additional benchmarks for promotion may be negotiated between the candidate and the chair at the time of appointment or re-appointment, and will vary on a case-by-case basis with the professional expertise of the candidate and the needs of the department.

## VII. Documentation of Excellence in Teaching through Resident Instruction

Excellence in teaching through resident instruction is an essential responsibility of all faculty members in the department. The quality of teaching is an explicit factor in the evaluation of faculty performance for merit salary increases, promotion and tenure. Teaching embraces two distinct functions: resident instruction and outreach education. Specific criteria exist for each.

Resident instruction includes undergraduate and graduate instruction in formal courses, seminars and individual studies. Directing student research is both a research and teaching activity. Mentoring students and academic and career counseling (graduate and undergraduate) is a teaching activity. Outreach/extension instruction is discussed in the next section.

### a. Course and Instructor Evaluation

The department is committed to helping each faculty member reach her/his potential as an instructor, whether the teaching activity occurs in the classroom or in an outreach setting. This commitment is fulfilled via four means for candidates for promotion and tenure. (1) The department chair orients and advises the candidate through annual reviews and other methods. (2) The department provides a faculty mentoring program. (3) The department requires that faculty administer the standardized, university-mandated evaluations of instruction by students (SEI). (4) The department conducts peer evaluation of teaching.

Student opinions and judgments, appropriately documented and accompanied by interpretive information, are essential. Every student in every classroom course must be provided an opportunity to complete a confidential evaluation of the instruction and the instructor using the Student Evaluation of Instruction (SEI) form, administered online by the university Registrar's Office. Faculty, at their option, may supplement the required SEI form with evaluative instruments of their own design.

Trends and/or patterns of responses in evaluations are considered to be as important as or potentially more important than scores for any particular year.

The Academic and Undergraduate Program Leader will arrange for an annual peer evaluation of classroom teaching for each assistant and associate professor. This peer evaluation may include syllabi, exams, instructional materials, text books, contributions to curriculum and classroom observation. Evaluators will be provided a copy of "Departmental Guidelines for Evaluating Courses and Instructors" that specifies structure and content for evaluation. The designated peer evaluator(s) will submit to the department chair a signed report of evaluation(s).

Evaluations made by other faculty members who have worked with the candidate in teaching also may be submitted.

## b. Resident Instruction

To judge excellence in resident instruction, faculty will be evaluated on:

- command of subject, including incorporation of recent developments into resident instruction;
- continuous growth in subject matter knowledge;
- ability to organize and present class material with logic, conviction and enthusiasm;
- objectivity;
- contributions to curriculum development;
- creativity in course development, methods of presentation, and incorporation of new materials and ideas;
- capacity to awaken students' awareness of the relationship between subjects studied, important problems and other fields of knowledge;
- mentoring of future teachers, e.g., teaching associates (TAs);
- mentoring undergraduates and graduate students; and
- directing graduate and undergraduate research programs/ activities.

Evaluation of resident instruction will take into account evidence from the last five years, or the most recent promotion, whichever is shorter. The following items should be considered in documentation:

**Evidence of the development** of new and effective instructional techniques and materials, shown through written explanation by the candidate, including syllabi, examinations, case studies, management and marketing games, field trip agenda, computer software, problem sets and pedagogical advances.

**Number of courses** and sections taught, number of students enrolled, and trends in enrollment attributable to quality of instruction.

**Recognition/awards** for distinguished teaching.

**Letters/evaluations** from present and former students.

**Instruction-related publications** authored, co-authored or edited: number, scope and distribution:

- Peer-reviewed publications designed primarily to communicate with other educators, e.g. journal articles on curricula, course innovations and student placement.
- Textbooks, chapters in textbooks, or peer-evaluated books of readings.
- Articles, papers, reviews and other non-reviewed class materials.

**Academic advising**, mentoring and direction of undergraduate and graduate students in research papers, theses and dissertations.

**Counseling** of graduate and undergraduate students in career development and personal matters.

**Maintenance and development of competence** through workshops, study leaves, courses, industry or government visits, interaction with practitioners and self-study.

**Leadership in development of courses** and curricula, which goes beyond normal teaching and service expectations.

**Any other information**, which the candidate may wish to submit.

## VIII. Documentation of Excellence in Outreach Education

Outreach education refers to planned educational activities by department faculty, directed primarily toward students/clients/users outside the campus classroom. These are persons, other than professional peers, who are not enrolled in courses for academic credit. Methods for delivering these educational materials are varied, and may include individual consultations, face-to-face meetings, public seminars or speeches, written communication, Internet blog postings, web-based seminars (e.g., webinars), and other novel and emerging communication methods.

**Effective outreach education depends upon:**

- A demonstrated audience or outreach clientele;
- An understanding of the education needs of the faculty member's stated outreach clientele;
- A contemporary command of the subject matter and the ability to glean from the subject matter what is useful for identifying and resolving problems;
- The ability to communicate effectively with outreach clientele, both orally and in writing;
- The ability to develop effective teaching materials and to respond to the “teachable moment” with appropriate educational activities.

To be recognized for excellence in outreach education, the faculty member must also be able to evoke a demand by outreach clientele and establish a reputation with practitioners as a mediator of knowledge.

Performance in outreach education is evaluated in terms of: (1) the development and delivery of outreach education programs; (2) changed practices, policies or behavior from outreach education; (3) publications; (4) assessments obtained via standardized teaching evaluation forms; (5) peer review; (6) awards; and (7) achievement of leadership positions. The relative importance of the criteria as laid out below, depend on the nature of the outreach program and may vary over the life of the program. For example, early in the development of an outreach education program, problem identification and development of educational materials would be more important than the number of outreach students taught. Nonetheless, it is expected that accomplishments with respect to each criterion will be evident over the course of several years. The individual faculty member should consider the full array of performance criteria relevant to outreach education and present information to the department chair on each specific criterion as well as the balance achieved among all criteria.

**Documentation of performance in these seven categories includes the following:**

- 1. Development and delivery** of outreach education programs and educational materials including: the number, breadth and depth of outreach lessons, courses and curricula developed; involvement in program planning and development, including proposals written and obtained for program funding, at the county, state, national and international levels; dissemination of information and educational materials to broader audiences, e.g., through the Internet, print or broadcast media; consultation with existing and potential users of outreach education to identify on-going and emerging needs and opportunities for outreach education on subjects within the faculty member's areas of expertise; development of teaching plans, discussion guides, computerized teaching aids and related educational materials for use in teaching and for adoption by other outreach educators.
- 2. Changed practices**, policies or behavior as evidence of output of outreach education, including: adoption by outreach clientele of improved practices (such as financial records, management techniques, or marketing methods); changed policies (such as land use preservation measures or race/gender/age hiring policies); or changed behavior (such as more effective use of information systems to enhance firm returns or agency effectiveness).
- 3. Publications authored**, co-authored or edited, including: peer-evaluated publications designed primarily to communicate with other educators or to serve as basic references (e.g., extension bulletins, journal articles, books and book chapters relating to instructional activities); popular articles designed primarily to communicate directly to outreach students and the general public (e.g., articles in news magazines, newspapers, trade journals, newsletters, electronic outlets, etc.).
- 4. Instruction**, including the number, subject matter scope and depth of outreach education classes taught and the number of students. Faculty who teach in formal OSU Extension settings are encouraged to use the EEET (Evaluation of Effective Extension Teaching) forms, or successor formats.
- 5. Recognition** or awards for distinguished outreach education.
- 6. Election to positions** of leadership in outreach education organizations.
- 7. Unsolicited letters** from outreach students, including extension clientele and others involved in outreach education.

## IX. Documentation of Excellence in Scholarship

Each faculty member is expected to develop a research program, the focus and scope of which reflects important economic problems, professional interests and department mission (as expressed in the individual's position description, other documents and correspondence).

Written accounts of research, particularly those that have been reviewed by peers are the primary indicators of excellence in research. However, publishing frequently is insufficient to prove that a research program is excellent. Publication quality (as indicated by journal quality, citations, peer feedback, etc.) and usefulness must also be assessed. For purposes below, a peer-reviewed publication is considered 'published' upon formal acceptance by the managing editor. 'Forthcoming,' 'Available on-line,' and 'In-Print' articles are viewed identically for evaluative purposes.

Publications are not the only barometer of research productivity. Other evidence that a faculty member is growing professionally and interacting constructively with students, colleagues and the profession as a whole must be provided. Guidelines for evaluating research follow.

### a. Publications

No single type of publication is invariably a more significant reflection on a research program than another. Nevertheless, a general hierarchy can be identified.

1. Peer-reviewed articles based on original research have primary importance as evidence of research accomplishment. The ranking of the journal and its impact are considerations in assessing the significance of articles.
2. Books and book chapters, and monographs and bulletins based on original research provide evidence of research accomplishment.
3. Textbooks, edited volumes, and other materials that are intended primarily to be tools for instruction are judged as research output to the extent that they present new ideas or constitute conceptual or empirical innovation.
4. Review articles often require significant investigation on the part of the author and pass a careful review. In these circumstances, such publications are treated as research output.
5. Published, invited and selected papers presented at professional meetings.
6. Other peer-reviewed publications
7. Publications that are not peer-reviewed and unpublished papers if the author demonstrates their quality and usefulness.
8. Book reviews written for journals reflect the author's status as a scholar, but may also represent research output.
9. Manuscripts in review provide evidence of continuing research efforts.

Manuscripts accepted for publication, documented by copies of correspondence from the editor or publisher, will be treated as publications for the purpose of evaluating research performance.

The candidate must list and describe his/her contribution to a publication with multiple authors.

**b. Research Activities with Students**

Much of the research completed by a faculty member is done in collaboration with graduate and undergraduate students. To some extent, students' accomplishments reflect faculty members' teaching efforts. The quality of students' work (e.g., dissertation awards, citations of a dissertation, publication of results, and post-graduate placement), recruitment of graduate students, and involvement with graduate and undergraduate students' research also reflect on a faculty member's research program.

**c. Extramural Funding**

All faculty members are encouraged to pursue and attract extramural funding appropriate to their research programs and contribute to the funding of common departmental support resources. Such funding, subject to the constraints imposed by the funding source, should include the maximum allowable indirect cost recovery rate to help cover departmental overhead. The primary goals of the pursuit of extramural funding are to produce high-impact research outputs, support departmental graduate students, and help fund departmental support resources.

**d. Other Research Activities**

Research excellence manifests itself in other ways, depending on the individual's field of expertise, on how research problems are approached, and the stage of the individual's professional development. Among other indicators of the quality of a research program are impacts on policy and extension programs, consulting assignments (including reviews of other departments and organizations), participation in and/or organization of panels and symposia at professional meetings, public lectures, development of computer software, successfully attracting funds, awards and recognitions, enrollment in courses, sabbaticals, and other types of self-improvement, as well as mentoring of junior faculty, classified and professional staff (e.g., research associates). Faculty members are expected to provide evidence of these activities and of their quality and usefulness to the department and to the profession.

## X. Documentation of Excellence in Service

The Department of Agricultural, Environmental, and Development Economics deems service to programs of the department, college, university, professional organizations, and private and public agencies beyond the university community as a responsibility of each faculty member. It is recognized that service will vary among faculty members and for a faculty member over time depending, in part, on the specific faculty appointment. However, a faculty member is expected to perform in each of the major categories (administrative, student, and professional).

### a. Definition of Service

Work done or duties performed for others including administrative and student services at all levels within the university and professional services to government, non-government organizations, professional associations at local, state, national, and international levels. Service has administrative and informal aspects.

### b. Administrative Service

(includes, but not limited to the following):

Departmental Service:

Serving as associate chairpersons and program leaders, service on Faculty Council, standing committees, task forces, special committees, and supervising of classified and A&P employees.

College and University Service:

Serving on faculty governance, search, standing, special, and interdisciplinary research committees, and task forces and reviewing materials.

### c. Student Service

(includes, but not limited to the following)

Advising undergraduate and graduate student clubs or other organizations, college honors committee; and serving on graduate students' committees in the department and in other departments, graduate school exam committee representative, and on university student committees (e.g., judicial and academic misconduct).

Offices, editorial councils, committees, and task forces of professional associations; regional and national research, teaching and extension committees; state and local task forces; state and local advisory committees; industry advisory committees and industry task forces. Service to stakeholder organizations. Member of board(s) of directors, consulting assignments.

**d. Informal Service**

A faculty member contributes informally to department productivity by influencing the productivity of other faculty.

Responsibilities to one's peers include, but are not limited to: reviewing course outlines, course syllabi, internal and external manuscripts, research proposals, and fund-seeking proposals; regional and national project writing committees; data collection and sample design, assisting students and other faculty with computer, quantitative and modeling problems; and peer evaluation of instruction.

A faculty member contributes to productivity of other faculty by positive interactions apparent in cooperative research efforts, team teaching, and the like. Positive and supportive attitudes and contributions to productivity of other faculty are apparent from co-authorship of articles, collaboration in submitting research grants, teaching improvement proposals, sharing of innovative ideas in committee meetings, and in general conveying a positive public image for the department, college, and university.

Intellectual diversity is valued for its contributions to synergism and the quality of scholarly life. Along with intellectual diversity, the department values contributions of each faculty member to collegiality: responsible and respectful behavior toward peers, staff, and students.

## **XI. APPEALS**

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

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

## **XII. SEVENTH YEAR REVIEWS**

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

A faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by the department, or appeal a negative decision following a seventh year.