

**APPOINTMENT, PROMOTION, AND  
TENURE CRITERIA AND PROCEDURES**

for the

DEPARTMENT OF ANIMAL SCIENCES

THE OHIO STATE UNIVERSITY

Amendments Approved by Department

December 12, 2019

OAA Approved July 10, 2020

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## I. PREAMBLE

This document is a supplement to Chapters 3, 5 6, and 7 of the Administrative Code regarding [University Faculty Rules](https://oaa.osu.edu/policies-and-procedures-handbook), the Office of Academic Affairs Policies and Procedures Handbook (<https://oaa.osu.edu/policies-and-procedures-handbook>), and additional policies established by the College of Food, Agricultural, & Environmental Sciences ([https://oaa.osu.edu/sites/default/files/uploads/governance-documents/college-of-food-agricultural-and-environmental-sciences/CFAES-APT\\_2018-07-03.pdf](https://oaa.osu.edu/sites/default/files/uploads/governance-documents/college-of-food-agricultural-and-environmental-sciences/CFAES-APT_2018-07-03.pdf) ) and The Ohio State University. Should those rules and policies change, the Department of Animal Sciences shall follow those new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on appointment or reappointment of the department chair.

This document must be approved by the dean of the college and the provost of the university before it can be implemented. It sets forth the Department of Animal Sciences' mission and in the context of that mission and the missions of the college and university, its criteria and procedures for faculty member appointments, and its criteria and procedures for faculty promotion, tenure, and rewards including salary increases. In approving this document, the dean and provost accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating continuing faculty members and candidates for positions in relation to its mission and criteria.

*The departmental faculty members and the administration are bound by the principles articulated in the Administrative Code, rule [3335-06-01](#):*

*(A) Peer review provides the foundation for decisions regarding faculty appointment, reappointment, and promotion and tenure (except when the provisions of paragraph (H) of rule 3335-6-03 of the Administrative Code are invoked.) Peers are those faculty who can be expected to be most knowledgeable regarding an individual's qualifications and performance--normally tenure initiating unit colleagues. Because of the centrality of peer review to these review processes, faculty vested with responsibility for providing peer review have an obligation to participate fully and knowledgeably in review processes, to exercise the standards established in faculty rule 3335-6-02 of the Administrative Code and other standards specific to the academic unit and discipline, and to make negative recommendations when these are warranted to maintain and improve the quality of the faculty. Recommendations by the faculty vested with the responsibility for providing peer review will be accepted unless they are not supported by the evidence presented regarding how the candidate meets the standards established in faculty rule 3335-6-02 of the administrative code and other standards specific to the academic unit and discipline. When, for the reasons just stated, a decision regarding faculty appointment, reappointment, or promotion and tenure differs from the recommendation of the faculty, the administrator or body making that decision will communicate in writing to the faculty body that made the recommendation the reasons that the recommendation was judged not to be supported by the evidence.*

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>).

## II. DEPARTMENTAL MISSION, VISION AND STRATEGIC PLAN

The **mission** of the Department of Animal Sciences is to discover and communicate knowledge about animals (including microbes) and their products. The delivery of this mission is directed to the students of The Ohio State University (OSU), the citizens of Ohio and other parts of the world, the scientific community, stakeholders in the department and others who are interested in animals used for food production, fiber, recreation, companion purposes, and in conversion of biomass to energy.

The **vision** of the department follows four axes of excellence: (1) to be recognized as the premier provider in Ohio, and one of the top academic units in the nation, for an undergraduate education in animal sciences; (2) to be identified nationally and internationally as one of the most outstanding academic units for a graduate education in animal sciences; (3) to have a reputation in the State, nationally, and internationally for being a leader in developing new knowledge in the biological sciences for food producing animals, horses, and microbes related to anaerobic fermentation, animal health and food safety, and dissemination of this knowledge to the scientific community and the public; and (4) to facilitate the development of students who will be prepared to become leaders and effective citizens, and be knowledgeable about our world and the production of animals for food, fiber, recreation, companion purposes, and energy through conversion of biomass to energy.

The department will establish and use a **strategic plan** to make advancements in achieving its **vision**. The strategic plan will contain the priority areas on which the department will focus in conducting Extension, research and teaching programs. Hiring practices, curriculum development and undergraduate/graduate student education will be consistent with the visions and strategic plan that is developed through organized planning processes. The outcomes of this planning will be used in developing, maintaining or eliminating programs, employing faculty and staff members, and in determining facility needs for the future in the Department of Animal Sciences.

## III. DEFINITIONS

### A. Committee of the Eligible Faculty

The eligible faculty for all appointment (hiring), reappointment, contract renewal, promotion, or promotion and tenure reviews must have their tenure home or primary appointment in the TIU.

The department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, promotion and tenure, or contract renewal.

### **3.A.1 Tenure-Track Faculty**

#### **Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty in the department.
- For appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested.

#### **Reappointment, Promotion, or Promotion and Tenure Reviews**

- For the reappointment and promotion and tenure reviews of assistant professors, the eligible faculty consists of all tenured associate professors and professors.
- For the promotion reviews of associate professors and the tenure reviews of probationary professors, the eligible faculty consists of all tenured professors.

### **3.A.2 Professional Practice Faculty**

#### **Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of a clinical/teaching/practice assistant professor, the eligible faculty consists of all tenure-track faculty and all professional practice faculty in the department.
- For appointment (hiring) at senior rank (professional practice associate professor or professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested, and all nonprobationary professional practice faculty of equal or higher rank than the position requested.

#### **Reappointment, Contract Renewal, and Promotion Reviews**

- For the reappointment, contract renewal, and promotion reviews of professional practice assistant professors, the eligible faculty consists of all tenured associate professors and professors, and all nonprobationary professional practice associate professors and professors.
- For the reappointment, contract renewal, and promotion reviews of professional practice associate professors, and the reappointment and contract renewal reviews of professional practice professors, the eligible faculty consists of all tenured professors, and all nonprobationary professional practice professors.

### **3.A.3 Research Faculty**

#### **Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, the eligible faculty consists of all tenure-track faculty and all research faculty in the department.
- For appointment (hiring or appointment change from another faculty type) at senior rank (research associate professor or research professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested and all nonprobationary research faculty of equal or higher rank than the position requested.

#### **Reappointment, Contract Renewal, and Promotion Reviews**

- For the reappointment, contract renewal, and promotion reviews of research assistant professors, the eligible faculty consists of all tenured associate professors and professors and all nonprobationary research associate professors and professors.
- For the reappointment, contract renewal, and promotion reviews of research associate professors and the reappointment and contract renewal reviews of research professors, the eligible faculty consists of all tenured professors and all nonprobationary research professors.

### **3.A.4 Conflict of Interest**

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

### **3.A.5 Minimum Composition**

In the event that the department does not have at least three eligible faculty members who can undertake a review, the department chair, after consulting with the dean, will appoint a faculty member from another department within the college.

## **B. Promotion and Tenure Committee**

The promotion and tenure committee shall consist of five (5) faculty members holding the rank of professor. Three professors, each serving a three-year term, will be elected by the tenure-track, professional practice, and research faculty members in the department. The three positions are staggered such that one position is replaced each year. The department

chair will appoint two professors for a two-year term. The chair shall use these appointments to achieve balance among appointment funding sources, faculty location, and diversity. A faculty member may not be a candidate for election or appointment to the departmental promotion and tenure committee for one (1) year following completion of an appointed or elected term. Members of the promotion and tenure committee shall select the chair of the promotion and tenure committee. The chair of the department is a non-voting member of the promotion and tenure committee. A procedures oversight designee will be appointed each year at the first meeting of the committee. An office associate designated by the chair of the Department will serve as a resource person in meetings of the promotion and tenure committee. This person along with the faculty member who is the procedures oversight designee will help ensure that guidelines for the promotion and tenure process are followed and that all actions agreed upon by the committee are performed subsequent to the promotion and tenure committee meetings.

### **C. Quorum**

The quorum required to discuss and vote on all personnel decisions is a simple majority of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the department chair has approved an off-campus assignment.

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

### **D. Recommendation from the Committee of the Eligible Faculty**

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

Absentee ballots and proxy votes are not permitted.

#### **3.D.1 Appointment**

A positive recommendation from the eligible faculty for appointment is secured when a simple majority of the votes cast are positive.

#### **3.D.2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**

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

## **IV. APPOINTMENTS**

The department is committed to making only faculty member appointments that enhance or have strong potential to enhance the quality of the department. The department fully endorses the university stated mission to seek:

- Creating and discovering knowledge to improve the well-being of our state, regional, national and global communities;
- Educating students through a comprehensive array of distinguished academic programs;
- Preparing a diverse student body to be leaders and engaged citizens;
- Fostering a culture of engagement and service.

The department, as a tenuring unit, also endorses rule [3335-6-02](#) (A) of the Administrative Code stating:

*Each tenure initiating unit is responsible for establishing criteria for appointment, reappointment, and promotion and tenure that are consistent with this mission and for ensuring that every faculty appointment, reappointment, and promotion and tenure recommendation is consistent with this mission.*

## **A. Criteria**

### **4.A.1 Tenure-Track Faculty**

Tenure-track faculty members of the Department of Animal Sciences shall include all tenure-track faculty members with the titles of professor, associate professor, assistant professor and instructor who serve on appointments totaling 50 percent or more of service to the department. Members of the faculty generally have a full range of responsibilities to the department, including teaching; research, outreach engagement, and other creative professional work; service to the department, college and university; and public service to their academic expertise.

The department endorses the university expectations that (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>):

*Appointment decisions for tenure-track faculty positions, as defined in rule 3335-5-19 of the Administrative Code, must be based on criteria that reflect strong potential to attain tenure and advance through the faculty ranks. 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 equivalent experience. Appointments at the rank of instructor should normally only be made when the offered appointment is that of assistant professor, but the appointee has not completed the required terminal degree at the onset of the appointment.*

With each rank, there will be allowable probationary periods that are pertinent to each appointment. These probationary periods will follow rule 3335-6-03 (B) (1) of the Administrative Code:

<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>

where:

*An appointment as professor or associate professor will generally entail tenure. However, a probationary period not to exceed four years may be granted by the office of academic affairs upon petition of the tenure initiating unit and college. For the petition to be approved, a compelling rationale must be provided regarding why appointment at a senior rank is appropriate, but tenure is not. All appointments to the rank of associate professor or professor require prior approval of the executive vice president and provost. 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.*

*An appointment to the rank of instructor is always probationary and may not exceed three years. An instructor must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year. When an instructor is promoted to the rank of assistant professor, prior service credit may be granted for time spent as an instructor if the faculty member requests such credit in writing at the time of the promotion. This request must be approved by the tenure-initiating unit's eligible faculty, the tenure-initiating unit head, the dean of the college, and the office of academic affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted.*

*An appointment to the rank of assistant professor is always probationary and may not exceed six years, including prior service credit. An assistant professor is reviewed for promotion and tenure no later than the sixth year of appointment as an assistant professor and informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year.*

*Review for tenure prior to the mandatory review year is possible when the 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.*

## **4.A.2 Non-Tenure Track Faculty**

### **4.A.2.1 Professional Practice Faculty**

**Professional practice faculty** members of the Department of Animal Sciences shall include all professional practice faculty members with the titles of assistant professor of professional practice, associate professor of professional practice, or professor of professional practice, with ranks based on the level of distinction attained by the candidate according to criteria detailed in this AP&T and the University Faculty Rules (<https://trustees.osu.edu/rules/university-rules/chapter-3335-7-rules-of-the-university-faculty-concerning-clinical-faculty-appointment-reappointment-and-nonreappointment-and-promotion.html>). Appointments of professional practice faculty involve fixed term contracts of three- to five-years that do not entail tenure. The initial contract is probationary, with re-appointment

considered annually. There is 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 initial penultimate year of the current contract period.

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., PhD or DVM) in the relevant field of study. Promise of excellence in service and professional accomplishment are also desirable.

External hires at the Associate Professor of Professional Practice or Professor of Professional Practice levels must demonstrate the same accomplishments in teaching and service as persons promoted within the university.

#### **4.A.2.2 Research Faculty**

Research faculty members have fixed-term contract appointments as research professor, research associate professor, or research assistant professor without tenure in the Department of Animal Sciences. Specific details are provided in Faculty Rule [3335-7](#); see specifically 3335-7-31 through 3335-7-40.

Procedures for appointment, reappointment, and non-reappointment shall be as per rule 3335-7-35 of the Administrative Code. Contracts will be for a period of at least 1 year and no more than 5 years. Contracts must explicitly state the expectations for salary support. The initial contract is probationary.

#### **4.A.2.3 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 department, such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate. Typically, the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion but not tenure and the relevant criteria are those for promotion of tenure-track faculty.

**Clinical Instructor of Practice, Clinical Assistant Professor of Practice, Clinical Associate Professor of Practice, Clinical Professor of Practice.** Associated clinical appointments may either be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer

uncompensated academic service to the department, for which a faculty title is inappropriate. Associated clinical rank is determined by applying the criteria for appointment of clinical faculty. Associated clinical faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of clinical 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 lecturers if they meet the criteria for appointment at that rank. The initial appointment of 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 for individuals at 49% FTE or below, either compensated (1-49% FTE) or uncompensated (0% FTE) can occur. 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 no 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.

#### **4.A.2.4 Courtesy Appointments for Faculty**

Tenure-track, professional practice, or research faculty members in other units of the university, either tenure initiating units or non-tenure initiating units are eligible to be appointed to and hold courtesy or "no-salary" appointments in the Department of Animal Sciences. When a faculty member is provided an appointment in a department outside her or his tenure-initiating unit, that appointment is made at the faculty member's current rank, with promotion in rank recognized.

#### **4.A.2.5 Transfer from Tenure-Track**

Tenure-track faculty may transfer to a professional practice or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the department chair, the college 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 professional practice appointment and from a research appointment to the tenure-track are not permitted. Professional practice faculty members and research faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

### **B. Procedure**

#### **4.B.1. Tenure-Track Faculty**

The addition of new tenure-track faculty members in the department will be determined based on priority needs in the department. The process for determining priority needs for new faculty members will be established by the strategic planning and visioning processes of the department. When vacancies occur, specific consideration will be given to voids that may have resulted in programs as a consequence of vacated positions.

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](#).

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

The department chair appoints a search committee that will consist of faculty from within the department, a departmental staff member, a graduate student, and an external member (stakeholder or faculty member external to the department). Prior to any search, members of all search committees must undergo inclusive hiring practices training available through the college with resources from the [Office of Diversity and Inclusion](#). Implicit bias training, also strongly encouraged, is available through the [Kirwan Institute for the Study of Race and Ethnicity](#).

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 department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, 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. These documents will be accessible to all eligible faculty members of the department for a 10-day period. If the faculty agrees with this judgment, on-campus interviews are arranged by the search committee chair. If the faculty does not agree, the department chair 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 department chair; and the dean or designee. In addition, all candidates will be asked to provide a presentation to the faculty and graduate students on their scholarship, and may teach a class depending on the position for which they are interviewing. 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.

Everyone participating in the interview process will be provided a feedback form and forms for eligible faculty will be provided with a ballot for acceptability of the candidate for the position. All feedback forms will be collected by the search committee. The ballots from eligible faculty will be tallied and the feedback received from participants will be included in the summary letter provided by the search committee to the chair of the Department.

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 (via a supplied ballot by email or regular mail) 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 department chair. This process is handled by the Promotion and Tenure Committee.

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 department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair.

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 department will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.

#### **4.B.2 Professional Practice Faculty**

In accordance with procedures established for tenure-track faculty positions, so also will professional practice faculty positions be based on priority needs in the department.

Professional practice faculty shall be engaged primarily in teaching activities related to courses or instructional situations involving professional skills and practicum supervision. Any candidate must have an earned doctorate or equivalent terminal degree (e.g., PhD or DVM) in the relevant field. Exceptions to a national search require approval by the college dean. Regardless, the department's search committee will follow procedures similar to those described for tenure-track faculty members. After a teaching seminar, the committee will solicit comments from faculty members, staff members, and graduate and undergraduate students. Eligible faculty members of the department will vote on acceptability of the candidate. The search committee will summarize strengths and weaknesses of the candidate and a tally of the eligible faculty vote for provision to the department chair. The department chair, in consultation with the associate chair, will determine whether or not to offer the position.

Candidates who wish to be appointed at the rank of professional practice associate professor or professional practice professor need to submit a complete, current curriculum vitae. Approval by the chair of the Department of Animal Sciences, dean of the College of Food, Agricultural, and Environmental Sciences, and the Office of Academic Affairs is necessary for the appointment to proceed.

#### **4.B.3 Research Faculty**

In accordance with procedures established for tenure-track faculty positions, so also will research faculty positions be based on priority needs in the department. Any candidate must have an earned doctorate or equivalent terminal degree (e.g., PhD or DVM) in the relevant field. Exceptions to a national search require approval by the college dean. Regardless, the department's search committee will follow procedures similar to those described for tenure-track faculty members. After a research seminar, the committee will solicit comments from faculty members, staff members, and students, and the eligible faculty members of the department will vote on acceptability of the candidate. The search committee will summarize strengths and weaknesses of the candidate and a tally of the

eligible faculty vote for provision to the department chair. The department chair, in consultation with the associate chair, will determine whether or not to offer the position.

Candidates who wish to be appointed at the rank of research associate professor or research professor need to submit a complete, current curriculum vitae and a description of their research program. Approval by the chair of the Department of Animal Sciences, dean of the College of Food, Agricultural, and Environmental Sciences, and the Office of Academic Affairs is necessary for the appointment to proceed.

#### **4.B.4 Associated Faculty**

In general, the qualifications required for appointment to an associated faculty position shall be equal to those required for a faculty position at the same rank, with equivalent degree and scholarly accomplishments. Initial appointment of associated faculty members at any academic rank should occur at a regular faculty meeting. An exception would be that the appointment could occur at a special meeting of the faculty members. Candidates for initial appointments as associated faculty members should be nominated by an Animal Sciences faculty member at a faculty meeting prior to the meeting at which a vote would be taken. The curriculum vitae of an individual being considered for initial appointment as an associated faculty member must be available for faculty member perusal at least 10 working days prior to the date of the faculty meeting at which the vote will be taken. The faculty member making the nomination will present the credentials of the candidate prior to the vote at the respective faculty meeting. Voting by electronic means (email) is an acceptable procedure for faculty who have engaged in the discussion during the faculty meeting (e.g. via conference call or videolink) of the potential appointment. Unless otherwise justified for a shorter term, approved associated faculty will be appointed for a three-year term. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Annually at a faculty meeting, faculty members will review all associated faculty with expiring terms for potential reappointment..

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

#### **4.B.5 Courtesy Appointments**

In general, the qualifications required for courtesy appointments shall be equal to those required for a tenure-track, professional practice, or research faculty position at the same rank. The initial courtesy appointment should occur at a faculty meeting. An exception would be that the appointment could occur at a special meeting of the faculty held at a single location. Candidates for initial appointments as courtesy faculty members should be nominated by an Animal Science's tenure-track, professional practice, or research faculty member at a faculty meeting prior to the meeting at which a vote would be taken. The curriculum vitae of an individual being considered for initial courtesy appointment must be available for faculty member perusal at least 10 working days prior to the date of the

faculty meeting at which the vote will be taken. The tenure-track, professional practice, or research track faculty member making the nomination for courtesy appointment would present the credentials of the candidate prior to the vote. The faculty members will review all associated reappointments yearly at a faculty meeting, but appointments can exist for up to three years without additional faculty vote. Voting by electronic means (e-mail) is an acceptable procedure if necessary.

#### **4.B.6 Emeritus Faculty Members**

"Emeritus faculty": Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in rule [3335-5-36](#). Full-time tenure-track, clinical, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service. Upon request in writing by the faculty member to the chair, the chair shall develop a recommendation to the dean for transmittal to the executive vice president and provost. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-05-04](#), emeritus status will not be considered. The proposal for emeritus status shall be made at the current rank of the individual. Final approval of emeritus status is granted by the Board of Trustees upon recommendation of the president.

Emeritus faculty members who remain active professionally will, at the discretion of the chair, be provided with facilities and services where available. Such privileges will be subjected to annual review by the chair and will continue as long as the emeritus faculty member is interested and able to make significant contributions to the program of the department. See the OAA [Policies and Procedures Handbook](#) Volume 1, Chapter 1, for information about other types of perquisites that may be offered to emeritus faculty, provided resources are available. Emeritus faculty members are not accorded voting privileges in the Department of Animal Sciences.

## **V. ANNUAL REVIEW PROCEDURES**

The primary criteria for annual reviews will be based upon teaching, outreach engagement, and scholarly activities. The criteria of service through a faculty member's contribution to the general well-being and academic culture of the department and professional discipline are also primary considerations of quality of performance.

It is the responsibility of the chair and/or associate chair to conduct the annual review of performance of all faculty members using a comprehensive report of accomplishments prepared by the faculty member as the basis for the review. All faculty are given the opportunity to meet with the Chair in person to discuss their annual review. These personal reviews shall be initiated annually by the chair after January 1 and prior to the completion of the college budget process. The chair will communicate to each faculty member the evaluation results in writing and will counsel probationary faculty members about performance relative to department expectations. Faculty members may respond in writing to the chair's written performance evaluation. A member of the faculty may view his or her primary personnel file and may provide a response to any evaluation, comment

or other material contained in the file.

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

Procedures of the department for the review of probationary tenure-track faculty members will be consistent with rule [3335-06-03](#) of the Administrative Code and probationary faculty members will use the office of academic affairs dossier outline for their annual reviews:

*At the time of appointment, probationary faculty members shall be provided with all pertinent documents detailing tenure initiating unit, college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided with copies of the revised documents.*

*During a probationary period, a tenure-track faculty member shall be reviewed annually in accordance with this rule and with policies of the tenure initiating unit, college and university. The annual review should encompass the faculty member's performance in teaching, in scholarship, and in service; as well as evidence of continuing development. The involvement of tenure initiating unit faculty in annual reviews is strongly encouraged. External evaluations of the faculty member's work, required for tenure and promotion reviews, may be obtained for any annual review if judged appropriate by the faculty review body or tenure initiating unit chair. The tenure initiating unit chair shall inform probationary faculty members at the time of initial appointment, and in a timely fashion each year thereafter, when the annual review will take place and provide a copy of the office of academic affairs dossier outline to be completed by the faculty member in reporting accomplishments to date. At the completion of the review the tenure initiating unit chair shall provide the faculty member and the dean of the college with a written assessment of the faculty member's performance and professional development. The assessment should include both strengths and weaknesses, as appropriate. If the chair's recommendation is to reappoint the faculty member to another probationary year of service, that recommendation shall be final. A recommendation from the chair to not reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures (see paragraph (G) of this rule) and the dean shall make the final decision in the matter. All annual review letters to date shall become a part of a faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure.*

The department chair will conduct the annual review for probationary tenure-track faculty, but the chair of the department promotion and tenure committee and the chair of the faculty member's mentoring committee may be invited to the review session. The review should encompass the faculty member's performance in teaching, in scholarship, and in service; as well as evidence of continuing development. The department chair will provide a letter of evaluation and recommendations to the probationary faculty member that will become part of the person's permanent file. The probationary faculty member will have an opportunity to respond, in writing, to any documented feedback regarding their

performance; this faculty member's letter will also become part of the person's permanent file.

The annual review process for probationary faculty members is intended to be instructive and candid as well as supportive and helpful. If the probationary faculty member considers the verbal and/or written observations and recommendations of the department chair to be unfair, unclear, or inconsistent, the faculty member can request a meeting with the P&T committee in the absence of the department chair. Following that meeting, the P&T committee shall meet with the department chair and then the P&T committee shall develop a summary of observations and recommendations. The P&T chair will share these written observations and recommendations with the department chair. The department chair will then prepare his or her own written evaluation that includes whether to renew the probationary appointment. The faculty member may provide written comments on the review. The Chair's annual review letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition the annual review letter (along with the faculty member's comments) will be added to the probationary faculty member's permanent file.

If the department chair recommends renewal of the appointment, this recommendation is final. If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-03](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

#### **5.A.1 Second-Year Review**

At the conclusion of their second-year of employment (performance review year, not actual calendar year of 12 months), as part of the request for annual review materials, the Department Chair will ask all probationary faculty members to submit to the Department P&T Committee a copy of their dossier and all other performance materials as outlined for the fourth-year review (or the initial penultimate year review for non-tenure track faculty). The P&T Committee will review the materials and provide a summative letter of the faculty member's program to date and provide suggestions to the faculty member for strengthening his/her dossier in preparation for the fourth-year review. This feedback to the faculty member must occur prior to the end of May. The letter from the P&T Committee for the second-year review must be included in the fourth-year review materials.

#### **5.A.2 Fourth-Year Review**

The fourth-year review of probationary tenure-track faculty shall follow the same process as the review for tenure and promotion at the department and college levels. External letters of evaluation will not be solicited for fourth year review candidates. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the dean of the college. Before reaching a negative decision or a decision contrary to the department's recommendation, the dean must consult with the college promotion and tenure committee.

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, who 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 departmental 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 department chair recommends renewal or nonrenewal.

The dean, not the department chair, then makes the final decision regarding renewal or nonrenewal of the probationary appointment. In the event of non-renewal of appointment for an untenured faculty member, the faculty member will be notified in accordance with rule [3335-6-08](#) (Standards of notice) of the Administrative Code.

### **5.A.3 Exclusion of Time from the Probationary Period**

*Exclusion of time from probationary periods is based on three circumstances described below (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>).*

There are three circumstances under which probationary tenure-track faculty may obtain an exclusion of time from probationary periods. These exclusions are intended to recognize that there are factors that can impact the ability of probationary faculty to meet the criteria for tenure within the probationary period outlined in paragraph (B) of this rule. A request to exclude time from the probationary period for any of the reasons listed in paragraphs (D)(1)(a) to (D)(1)(c) of this rule must be made prior to April 1 of the year in which the mandatory review for tenure is scheduled to occur.

### **B. Tenured Faculty Members**

All tenured faculty members shall have an annual review as outlined in the beginning of this section. A detailed report of teaching, research or other scholarly activities, and service for the preceding year along with specific goals and plans for the coming year will be expected from each tenured faculty member. An updated curriculum vitae for departmental files will also be recommended. Professors are reviewed annually by the department chair. The department chair and/or associate chair meets with the faculty member to discuss his or her performance and future plans and goals and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the department, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the department, the university, and their profession, including their support for the professional development

of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest-ranking members of the faculty, the

expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The department chair prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

### **C. Professional Practice Faculty**

The annual review process for professional practice faculty is identical to that for tenure-track faculty.

In the initial penultimate contract year of a professional practice 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](#) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the initial 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.

For faculty in their second and subsequent appointment term, the individual must be informed by the department chair as to whether a new appointment will be extended by the end of the penultimate year of each appointment period. A faculty member not being renewed must be informed according to the relevant standards of notice set forth in Faculty Rule [3335-6-08](#). An initial decision from the department chair to not reappoint the faculty member to another term requires a review by the eligible faculty similar to the initial penultimate year review. Additional guidelines are provided by the Office of Academic Affairs (<https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf>).

### **D. Research Faculty**

The annual review process for research faculty is identical to that for tenure-track faculty. The department chair will meet with the research faculty member to discuss his/her performance and future plans and goals, and will write a summary letter of evaluation of his/her research program. Research expectations will be consistent with expectations set for promotion of tenure-track faculty (publications; grant proposals funded; invited presentations and publications; editorial service; and other

evidence of a quality research program) described later in this document.

In the initial 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](#) must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the initial 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.

For faculty in their second and subsequent appointment term, the individual must be informed by the department chair as to whether a new appointment will be extended by the end of the penultimate year of each appointment period. A faculty member not being renewed must be informed according to the relevant standards of notice set forth in Faculty Rule [3335-6-08](#). An initial decision from the department chair to not reappoint the faculty member to another term requires a review by the eligible faculty similar to the initial penultimate year review.

Decisions for appointment and reappointment will ultimately be made by the dean of the College of Food, Agricultural, and Environmental Sciences. Reasons for termination will be clearly identified and in accordance with established faculty rules. Additional guidelines are provided by the Office of Academic Affairs (<https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf>).

#### **E. 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.

### **VI. MERIT SALARY INCREASES & OTHER REWARDS**

## **A. Criteria: Salary Decisions**

Salary increments are recommended annually to the dean by the chair. Salary increases are based on the chair's evaluation of each individual's productivity and contribution to the teaching, research, and service mission of the department. All faculty members are asked to update their curriculum vitae and Office of Academic Affairs dossier outline, [\*Policies and Procedures Handbook\*](#), Volume 3, and to complete an annual report (see Documentation below) by January 31 of each year. Updating includes new information on publications, awards, presentations, grants, committee assignments, teaching activities, achievements, etc. These records are reviewed by the chair as part of the evaluation. Evaluation will emphasize the previous year's performance. However, in making annual salary adjustment recommendations for faculty members the chair may also consider the past several years' performance and/or the appropriateness of the salary level to the individual's overall record and in comparison to their peers.

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: Salary Decisions**

Approximately one month before annual salary raises are recommended to the college, the chair shall rate the past performance and immediate potential for all faculty members and personnel holding salaried appointments in the department based on the annual reviews.

When the university announces the salary adjustment guidelines for the year, the chair shall decide on an adjustment range appropriate to the year, match the rating scale to the university guidelines, and develop tentative salary adjustments. The chair shall submit the recommended salary adjustments to the dean and make the case for all equity and excellence adjustments.

## **C. Documentation: Salary Decisions**

A well-documented annual review is the primary process by which performance and achievement are evaluated for all faculty members. It provides information for determining renewal of probationary appointments and is the basis on which merit salary increase recommendations are made. The documentation is used to gauge the individual's professional growth and contributions to the intellectual life of the department and university.

The annual report outline will follow the college guidelines to document accomplishments in instruction, research, and service for the preceding calendar year. The annual report shall include a statement of duties and responsibilities of the position into which the faculty member is employed. It should indicate the faculty member's: 1) campus-based and outreach education, 2) research, creative and scholarly activities, 3) collaborative professional endeavors, and 4) service. The statement should summarize the major elements of accomplishments and/or expectations within each category. Significant variations in accomplishments from the expected duties and responsibilities from the

previous year should be documented with reasonable justification. Anticipated or desired changes for the next year or future years should be documented for discussion with the chair. The outline for the annual report will be provided by the chair by 1 January. It is the responsibility of the chair to communicate to the faculty members documentation format, timetables, new policy materials from the Office of Academic Affairs and college, and any other changes in the Administrative Code or procedures that may impact the criteria or procedures of the department. Faculty members must submit the annual comprehensive report of accomplishments for the previous calendar year by January 31.

Each faculty member who teaches one or more courses will annually submit evidence to the chair concerning effectiveness in teaching on university campuses. Evaluation of effectiveness of these teaching endeavors will take into account trends and patterns from several recent and consecutive quarters as indicators of progress and the ability of instructors to develop and deliver highly effective instruction. The following should be considered by faculty members in documenting the effectiveness of their teaching activities:

Student opinions, appropriately documented, summarized, and interpreted, are essential. Every student in every course must be provided an opportunity to complete a confidential evaluation of the instruction and instructor. The evaluation instrument for the department will be the university's Student Evaluation of Instruction (SEI). Faculty members may supplement the required instrument(s) with evaluative instrument(s) of their own design. Supplemental evaluative forms should be administered by another faculty member, a Teaching Assistant (TA) assigned to the course, or other designated person to be determined by the department chair.

## **VII. PROMOTION AND TENURE AND PROMOTION REVIEWS**

All faculty member reviews for promotion and tenure and for promotion are done jointly by the chair and the eligible faculty members.

The department endorses rule 3335-6-02 (D) of the Administrative Code (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) where:

*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 instance's 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.*

The mission of the department and the necessity for positive interactions and contributions within its community of scholars cannot be achieved without proper faculty member citizenship and collegiality being demonstrated by members of this scholarly community (department, college and university). This requires each faculty member to fairly meet assigned and unassigned responsibilities, and academic and professional service so as to create and enhance the academic and intellectual environment. All faculty members are expected to demonstrate respect and responsible behavior toward peers, staff, and students. All faculty members have the responsibility to articulate differing positions and opinions responsibly and tactfully so as not to be disruptive to the functioning of the department and/or irresponsible within the expected norms of civility.

The GENERAL PERFORMANCE CRITERIA for promotion and tenure presented later in this document are to be considered reasonably flexible, such that performance in one area of teaching, outreach engagement, scholarly activity, and service may be balanced against another. However, for promotion to any rank above assistant professor, the candidate must demonstrate and document excellence in scholarly work commensurate with expectations for the rank sought. An unacceptable performance in any category of teaching, scholarly activities, and service will automatically preclude the candidate from receiving a recommendation for promotion.

*For purposes of faculty performance reviews the quality and impact of research, teaching, and service are assessed (rule [3335-6-02](#) (A) of the Administrative Code).*

## **A. Criteria**

### **7.A.1 Promotion of Tenure-Track Faculty to Associate Professor**

The department endorses rule [3335-6-02](#) (C) of the Administrative Code where:

*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.*

Further, according to rule [3335-6-02](#) (B) of the Administrative Code: *Tenure will not be awarded below the rank of associate professor.*

The department has established and exercises very high standards for the awarding of tenure because a positive tenure decision has a profound impact on the quality and future of the department. Although criteria vary both according to departmental mission and the particular responsibilities of each faculty member, every candidate is held to a standard of excellence in all aspects of performance. The pattern of performance over the probationary period is expected to yield confidence that the candidate will continue to develop

professionally.

Above all, candidates are held to a very high standard of excellence in the areas that are central to their responsibilities. If a candidate's primary role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area cannot be adequately counterbalanced by excellent performance in another aspect of teaching that is a much smaller part of the individual's responsibilities.

Excellence in teaching, scholarship, 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](#).

### **7.A.2 Promotion of Tenure-Track Faculty to Professor**

The department endorses rule [3335-6-02](#) (C) of the Administrative Code where: *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 department expects an individual ready for promotion to professor to be a role model for less senior faculty members, for students, and for the profession. While the individual seeking promotion should be assessed in relation to assigned responsibilities, exceptional performance in these responsibilities is required.

### **7.A.3 Promotion of Professional Practice Faculty**

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

For promotion to professor of professional practice a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to this department and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

### **7.A.4 Promotion of Research Faculty**

The promotion to the rank of research associate professor must be based on convincing evidence that the faculty member has achieved excellence as a scholar, and as one who provides limited but effective service; and can be expected to continue a program of high quality scholarship relevant to the mission of the department and to the university.

The promotion to the rank of research professor must be based on convincing evidence that the faculty member has a sustained record of excellence in research and has produced a significant body of scholarship that is recognized nationally or internationally.

## **B. Teaching**

Effective teaching is an essential responsibility of faculty members in the department as appropriate to their appointment. The quality of teaching is an explicit factor in the evaluation of a faculty member performance for merit salary increases, promotion, and tenure. Teaching embraces two distinct functions: 1) teaching on the university campuses, and 2) outreach education, including Extension. Specific criteria exist for evaluation of the effectiveness of each function.

### **7.B.1 Teaching on University Campuses**

Teaching on university campuses includes undergraduate and graduate instruction in formal courses, seminars, and individual studies. Directing research of undergraduate and graduate students is both a teaching and research activity. Academic and career counseling of both graduate and undergraduate students is a teaching activity.

The following criteria will be used to evaluate effectiveness of teaching.

- Ability to logically organize and present instructional materials;
- Ability to present instructional materials with conviction and enthusiasm;
- Accuracy and objectivity of instruction and evaluation;
- Contributions to course and curriculum development;
- Use of appropriate presentation methods, including development of new presentation methods;
- Continuous incorporation of new subject matter knowledge;
- Ability to motivate and stimulate students intellectually;
- Capacity to awaken in students an awareness of the relationship between subjects studied and important problems in other fields of knowledge;
- Mentoring of future teachers, e.g. (TA);
- Advising of undergraduate and graduate students; and
- Directing graduate and undergraduate research programs and activities.

A candidate for promotion and tenure or for promotion should also present evidence for the following:

- Development of new and effective instructional techniques and materials appropriate for the objectives and level of the course. These must be documented in writing by the candidate. Examples include changes to or development of syllabi, examinations, laboratory exercises, case studies, field trip agenda, problem sets, computer software, etc.
- Number of courses and sections taught, number of students enrolled, and trends in enrollment. Trends in enrollment should be addressed by the candidate concerning quality of instruction implications.
- Honors project and Individual Studies involvement.

- Recognition or awards for distinguished teaching.
- Instruction-related publications authored, co-authored or edited. Types of publications include:
  - Peer-evaluated scholarly publications designed primarily to communicate with other educators, e.g., journal articles on curricula, course innovations, and student placement; and
  - textbooks authored or edited, textbook chapters, laboratory exercises, and other instructional materials developed. Scope and distribution of each item should be given.
- Academic Advising of graduate and undergraduate students should be documented. The department's *Student Evaluation of Advising* form will also be used as appropriate by the chair to evaluate effectiveness of undergraduate student advising.
- Counseling and directing of graduate and undergraduate students in career development.
- Maintenance and development of professional competence and growth through participation in workshops, study leaves, courses, industry or government visits, interaction with practitioners and self-study should be documented in writing, including when each activity occurred, and professional growth accrued.
- Leadership in development of the curriculum and courses which goes beyond normal teaching and service expectations should be documented.
- Any other relevant information the candidate may wish to submit.

### **7.B.2 Outreach Education**

Outreach education refers to planned educational activities by department faculty members that are directed primarily toward students, clients, and stakeholders (users) outside of instruction in formal courses. These are persons, other than professional peers, who are not enrolled in formal courses for academic credit, and include the general educational activities conducted in conjunction with Ohio State University Extension.

To assess the effectiveness of outreach education, faculty members in the department will be evaluated on:

- Demonstration of an understanding of the needs of outreach clientele,
- Development of effective teaching materials and programs;
- Creativity in subject matter development, methods of presentation, and the incorporation of new ideas;
- Contemporary command over the scientific information base and the applied subject matter, and the ability to consolidate and apply that knowledge for identifying and resolving problems for various clientele;
- Ability to communicate effectively with outreach clientele, both orally and in writing; and
- Ability to anticipate the needs of clientele and to respond with appropriate and scientifically based educational activities.

The chair will seek evidence of quality in Extension education from Extension writing and publications, imaginative and innovative methods and materials, presentation of

papers, presentations to clientele, industry presentations, seminars, and self-improvement endeavors. Extension clientele, industry groups, and peer faculty members provide additional evaluation. Faculty members without an OSUE appointment will be expected to participate in appropriate Extension programs and provide assessments of these programs from unbiased sources.

### **C. Research**

Faculty members are expected to develop a research program as appropriate to their appointment, the focus and scope reflecting professional interests as well as departmental goals. An individual's research program must have focus and direction on one or several major objectives. Faculty members are encouraged to participate in team research and interdisciplinary research when appropriate. Local, national, and international recognition of an individual's research program is an important indicator of relevance and quality. Each faculty member with an OARDC appointment must be a principal or co-principal investigator on an approved state or federal project. Faculty members are expected to seek research grants to foster their research programs. Although publications are the primary indicator of research productivity, other evidence that a faculty member is growing professionally and interacting constructively with students and colleagues will be considered. Guidelines used for evaluating research follow.

#### **7.C.1 Publications**

- Peer-reviewed journal articles based on original research have primary importance as evidence of research accomplishment. The number of peer-reviewed publications would be expected to vary with percent OARDC appointment, but all faculty members are expected to publish peer-reviewed articles.
- Peer-reviewed research bulletins are a useful outlet for certain types of research data.
- Textbooks and edited volumes that are intended primarily to be tools for instruction are judged as research output.
- Peer-reviewed, published review articles (e.g., journal and/or technical review articles) often require substantial investigation and creative thinking on the part of the author and must pass a careful review. In these circumstances, such publications are treated as research output.
- Published abstracts of papers presented at scientific meetings and other non peer-review papers are important evidence of productivity and communication of research results to appropriate clientele. However, their importance is secondary to peer-reviewed publications.

#### **7.C.2 Research Grant Proposals Submitted and/or Funded**

- Research grant proposals and awards are an important indicator of the creativity and productivity of a research program. Effort involved in the submission of grant proposals should be recognized, and funded proposals demonstrate a higher level of success.

### 7.C.3 Other Indicators

- Invitations to participate at symposia, lectures, and review panels.
- Quality and quantity of predoctoral and postdoctoral students attracted and trained and their contribution to the profession and/or industry.
- Software development, production of videotapes, and patents issued are also judged as creative scholarly activity.
- Research honors and awards are recognition of high-quality research.

### D. Service

The Department of Animal Sciences deems service to programs of the department, college, university, professional organizations, and industry to be the responsibility of each faculty member. The department recognizes that service will vary among faculty members, and for a faculty member over time. However, a faculty member is expected to engage in service activities of various types, including administrative, student, professional, and technical. Although service activities are important, teaching performance and research accomplishments will be accorded far greater weight in promotion and tenure considerations. Service should be documented and included in the annual comprehensive report of accomplishments for the previous calendar year.

#### 7.D.1 Definition of Service

Service includes work done or duties performed for others, including participation in faculty governance of the department, college and university; administrative and student services at all levels within the university; and professional services to government, industry, and professional associations at local, state, national, and international levels.

#### 7.D.2 Service Categories

- University service: faculty governance functions include service on standing and *ad hoc* committees, councils, *etc.*, at all levels of university organization.
- Departmental service: serving on departmental committees and task forces, and supervising of classified and A&P employees; chairing activity groups in the department such as extension, commodity and/or discipline groups or committees; supervising of livestock (animal) units where multiple faculty member use is involved.
- Student services: advising student clubs, College Honors Committee, or other organizations; serving on advisory and examination committees of graduate students, and serving on university student committees (*e.g.*, Judicial and Academic Misconduct).
- Professional services: professional services include (but are not limited to) being an editor, an officer of a professional association, or a member of the following: editorial boards; 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; industry task forces; and boards of directors. Additional services include providing expertise to trade

organizations (clientele) and performing consulting activities.

- Technical services: technical services include 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 members with computer, quantitative and modeling problems; and design of instruments for teaching evaluation and participation in teaching evaluation.

Each faculty member is expected to contribute to department, college, university, and professional society activities. In general, a faculty member would be expected to devote about 15% of professional time on service activities. Some service activities may require up to 20% of a faculty member's time. The amount of involvement and perceived importance of the service activities will be considered, and no hierarchy of importance for various activities is established.

## **E. Procedures**

The department's procedures for promotion with tenure and promotion reviews are based on those set forth in rule [3335-6-04](#) (A) of the Administrative Code.

### **7.E.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 APT document under which the candidate wishes to be reviewed. Candidates may submit the department's current APT document; or, alternatively, they may elect to be reviewed under either (a) the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. The APT document must be submitted when the dossier is submitted to the department.
- To review the list of potential external evaluators developed by the department chair. The candidate may supply additional names for external evaluators 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 Section 7.F.5 External Evaluations.)

## 7.E.2 Promotion and Tenure Committee Responsibilities

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

- To review this 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 department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
  - A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
  - **Late Spring:** 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 chairs 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 department chair.
  - **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 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, scholarship 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 meeting of the full eligible faculty, 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 department chair.
- 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 department chair in the case of joint appointees whose tenure-initiating unit is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure- initiating unit substantially earlier than the committee begins meeting on this department's cases.

### **7.E.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.

### **7.E.4 Department Chair Responsibilities**

The responsibilities of the department chair 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 department.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the chair 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 department review process:
  - of the recommendations by the eligible faculty and department chair
  - of the availability for review of the written evaluations by the eligible faculty and department chair
  - of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, 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 college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure 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 department chair's independent written evaluation and recommendation, to the department chair of the other tenure- initiating unit by the date requested.

#### **7.E.5 External Evaluations**

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion

and tenure or promotion reviews, all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for professional practice faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a professional practice faculty member will be made by the department chair 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 scholarship (or other performance, if relevant) who can give an “arms’ length” evaluation of the research record and 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 department will only solicit evaluations from 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 department 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 department chair, 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 department requires that the dossier contain letters from evaluators suggested by the candidate.

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

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

procedural lapse, or the appearance of such a lapse, in the course of the review process.

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

### **7.E.6 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 department. The documentation of scholarship and service noted below is for use during the department review only, unless reviewers at the college and university levels specifically request it.

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

#### **7.E.6.1 Teaching**

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

- Cumulative SEI 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 department's peer evaluation of teaching program (details, including numbers are provided below).
- Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- Teaching activities as listed in the core dossier 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
- Other relevant documentation of teaching as appropriate.

### **7.E.6.2 Research**

Recognizing that scholarship is a process of growth, candidates may include materials in this section from throughout their career. While all scholarly creative works can be listed, the primary time period for review in the dossier for probationary faculty is the date of hire to present; and 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 works 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, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites.
  - Documentation of inventions, patents, disclosures, options and commercial licenses.
  - List of prizes and awards for research, scholarly, or creative work.

### **7.E.6.3 Service**

The time period for material included in the dossier for probationary faculty is the date of hire to present. For tenured or non-probationary 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 department.
  - Administrative service to college.

- Administrative service to university and student life.
  - Advising to student groups and organizations
  - Awards and prizes for service to profession, university, or department.
- 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**

Rule [3335-6-05](#) of the Administrative Code sets forth general criteria for appeals of negative promotion and tenure decisions. Further detail on appeals alleging improper evaluation is contained in rule [3335-5-05](#) of the Administrative Code).

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 a 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 (SEI) is required in every course offered in this department. 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.

### **B. Peer Evaluation of Teaching**

The department chair or associate chair oversees the department's peer evaluation of teaching process.

The chair or associate chair will designate faculty members to conduct the annual peer review and evaluation of formal course teaching. This evaluation may include course syllabi, exams, instructional materials, textbooks authored by the candidate, contributions to the curriculum, and peer evaluation of classroom performance. At least one peer evaluator will be chosen by the chair or designated representative to lead the evaluative process. Evaluators will be provided a copy of "Peer Review of Teaching Department of Animal Sciences, The Ohio State University" that provides guidelines for the structure and content of the evaluation. The peer evaluation group will submit to the chair and to the

candidate a signed written report of evaluation and the lead member of the peer evaluation group and the chair meets with the faculty member to review the evaluation of the class.

Regularly scheduled peer teaching evaluations are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials including exams. 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 a minimum of 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 and the department chair to give feedback and also submits a written report to the department chair, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.