

APPOINTMENT, PROMOTION, AND
TENURE CRITERIA AND PROCEDURES

for the

DEPARTMENT OF ANIMAL SCIENCES

THE OHIO STATE UNIVERSITY

Proposed amendments by Department

August 19, 2014

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II. PREAMBLE

This document is a supplement to Chapters 3, 5 and 6 of the Administrative Code regarding the Rules of the University Faculty (www.trustees.osu.edu/ChapIndex/index.php as of June 1, 2007), the office of academic affairs Policies and Procedures Handbook (www.oaa.osu.edu/handbook/ as of August 2007), and additional policies established by the College of Food, Agricultural, & Environmental Sciences 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 (<http://trustees.osu.edu/rules6/ru6-01.php>):

- (A) *Peer review provides the foundation for decisions regarding faculty member 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 members 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 member 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>).

III. DEPARTMENTAL MISSION AND VISION

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, the citizens of Ohio and other parts of the world, the scientific community, stakeholders of the department, and others who are interested in animals used for food and fiber production, recreation, and 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.

IV. Definitions

A Committee of the Eligible Faculty

1. Tenure-track Faculty

The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

2. Professional Practice Faculty

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

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of professional practice faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the department and all nonprobationary professional practice faculty of equal rank to or higher than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

3. Research Faculty

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

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the department, all nonprobationary professional practice faculty of equal rank to or higher than the candidate whose primary appointment is in the department, and all nonprobationary research faculty of equal rank to or higher than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

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 review of that candidate.

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. 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.

C. 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 votes. 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.

1. Appointment

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

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.

V. 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 "*the attainment of international distinction in education, scholarship, and public service.*" The department, as a tenuring unit, also endorses rule 3335-6- 02 (A) of the Administrative Code (<http://trustees.osu.edu/rules6/ru6-02.php>) 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 member 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:

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. (Administrative Code, rule 3335-6-02 (A), <http://trustees.osu.edu/rules6/ru6-02.php>)

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 (<http://trustees.osu.edu/rules6/ru6-03.php>) 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.

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

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.

4.A.2. 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. Professional practice faculty shall be engaged primarily in teaching activities related to courses or instructional situations involving professional skills and practicum supervision. 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.

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

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

4.A.1. 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 by rules 3335- 7-30 through 3335-7-40 of the Administrative Code (<http://trustees.osu.edu/rules7/ru7-30.php>). In general, these appointments are to help meeting the mission and goals of the department and are not meant to supersede the traditional tenure-track system. Consequently, research FTE shall not exceed 20% of the number of tenure-track FTEs in the department. Although limited teaching is permitted, these faculty members will be without significant teaching expectation.

Primarily as researchers, their salary support is generally expected to be recovered from sources external to the department. Under no circumstances can salaries be paid from funds generated from tuition and general fund subsidy.

5. Transfer from the 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.

4.A.2. Associated faculty

The associated faculty members of the Department of Animal Sciences consists of those faculty members as defined by rule 3335-5-19 (B) of the Administrative Code but who have appointments with adjunct titles, visiting titles and lecturer titles; also professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than 50% service to the university. Persons with tenure-track, professional practice, or research faculty titles may not hold associated titles. Persons holding associated titles are not eligible for tenure.

The titles of adjunct professor, adjunct associate professor, adjunct assistant professor, and adjunct instructor shall be used to confer faculty status on individuals who have credentials comparable to tenure-track, professional practice, or research faculty members of equivalent rank, who provide significant, service to the instructional and/or research programs of the university and who need a faculty title to perform that service. Such individuals may be either non-university employees or university employees compensated on a non-instructional budget. Adjunct appointments are made for the period in which the service is provided . Renewal is contingent upon continued significant contributions. Procedures for the promotion of adjunct faculty members shall be the same as for promotion of tenure-track, professional practice, or research faculty members.

The title of visiting professor, visiting associate professor, visiting assistant professor, and visiting instructor shall be used to confer faculty status on individuals who have credentials comparable to tenure-track, professional practice, or research faculty members of equivalent rank who spend a limited period of time on formal appointment and in residence at this institution for the purposes of participating in the instructional and research programs of the university. A visiting appointment cannot exceed three continuous years of service.

The titles of lecturer and senior lecturer shall be used for all compensated instructional appointments where other titles are not appropriate. Lecturer's responsibilities shall be limited to teaching as defined in Chapter 3335-6 of the Administrative Code, <http://trustees.osu.edu/rules5/ru5-19.php>).

4.A.3. 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. Regardless of the policies and procedures which apply to these faculty members within their tenure-

issuing unit and/or budget unit, the rights and responsibilities of such faculty members appointed within the Department of Animal Sciences are determined solely by the department as set forth in this document. In general, "no-salary" faculty member responsibilities and expectations include:

- Advising graduate students in accordance with their graduate faculty member status.
- Teaching at the undergraduate and, if approved by the Graduate School, the graduate level.
- Collaborating on research efforts and projects with departmental faculty members.
- Serving on non policy making departmental committees.
- Attending and participating in faculty meetings, but without voting privileges.

4.A.4. Emeritus faculty

Any tenure-track, professional practice, or research faculty members who has remained professionally active, and who voluntarily retires from the university shall be considered for appointment to Emeritus status. Emeritus status is a university rather than a departmental title and shall not be duplicated for service in more than one department faculty. Emeritus faculty members are not accorded voting privileges in the Department of Animal Sciences and may not participate in promotion and tenure matters.

B. Procedure

4.B.1. Tenure-track faculty

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in the most recent update of [A Guide to Effective Searches](http://www.hr.osu.edu/hrpubs/guidesearches.pdf) (www.hr.osu.edu/hrpubs/guidesearches.pdf).

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. The department chair shall appoint a standing search committee that will conduct searches through recruiting high quality candidates for all faculty positions when they are being filled, and appoint a tenured faculty member to chair the search committee. The search committee 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). The search committee will determine whom to interview. Input regarding evaluation of candidates interviewed will be sought by the chair of the search committee from all department faculty members, staff members, stakeholders and

students who participate in the interview process to the extent that they have adequate knowledge to evaluate the candidate being interviewed. The search committee chair will send a ballot to all tenure-track faculty members in the department. Faculty members will be asked to provide information as to whether candidates being interviewed are acceptable or not acceptable for the position. The chair of the search committee will be expected to supply the chair of the department a list of the candidates who have been deemed as acceptable by the faculty members. The chair of the search committee will also supply the chair a summary of the vote of the faculty members for each candidate. The chair of the search committee will also be expected to supply information regarding the perceived strengths and weaknesses of the candidates, as well as specific recommendations from the search committee, leaving no doubt concerning the search committee's judgment of each candidate. The chair of the department, in consultation with the associate chair, will determine whether the position should be offered and to which candidate the offer should be made based on inputs supplied by the search committee and other inputs that are received from other sources.

Candidates who wish to be considered for a position at the rank of associate professor or professor, with tenure, will be required to provide a complete curriculum vitae, and a description of the impact of their prior extension, research and/or teaching programs. These documents will be accessible to all eligible faculty members of the department for a 10-day period and these faculty members will be supplied a ballot via regular mail or e-mail.

4.B.1. 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., DVM) in the relevant field. Exceptions to a national search requires 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.2. 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., DVM) in the relevant field. Exceptions to a national search requires 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.

4.B.3. 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. Initial appointment of associated faculty members at any academic rank should occur at a quarterly 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. The faculty members will review and vote upon renewal of all associated reappointments yearly at the summer (June) faculty meeting.

4.B.4. 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 quarterly 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 eligible faculty will review and vote upon renewal of all courtesy reappointments yearly at the summer (June) faculty meeting.

4.B.5. Emeritus faculty members

This title must be recommended concurrently with the faculty member's retirement. Upon request in writing by the retiring faculty member to the chair, the chair shall develop a recommendation to the dean for transmittal to the provost. 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. Emeritus faculty members are not accorded voting privileges in the Department of Animal Sciences.

VI. 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 to personally conduct the annual review of performance of all faculty members in person (chair and/or associate chair), and faculty member only) using a comprehensive report of accomplishments prepared by the faculty member as the basis for the 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 place in his or her primary personnel file a response to any evaluation, comment or other material contained

in the file.

A. Procedures: Probationary Tenure-Track Faculty

Procedures of the department for 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 (rule 3335-06-03 (C) (1) of the Administrative Code, <http://trustees.osu.edu/rules6/ru6-03.php>).

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 weakness, 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 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 (rule 3335-06-03, C, 1) of the Administrative Code, <http://trustees.osu.edu/rules6/ru6-03.php>).

The department chair will conduct the annual review for probationary tenure-track faculty. The review should encompass the faculty member's performance in teaching, in scholarship, and in service; as well as evidence of continuing development. The chair will arrange a private meeting for a personal review with each probationary faculty member to discuss progress and plans and the chair will provide a draft of a letter of evaluation and recommendations to the probationary faculty member that will become part of the person's permanent file. The probationary faculty person

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 will meet privately to develop a summary of observations and recommendations. The P&T chair will be expected to provide a timely, written summary of the observations and recommendations to the faculty member and the department chair. This P&T committee letter will be added to the probationary faculty member's permanent file.

1. Fourth-Year Review

The fourth year review of probationary faculty shall follow the same process as the review for tenure and promotion at the tenure initiating unit and college levels with two exceptions: solicitation of external letters of evaluation may or may not be required by the tenure initiating unit and review by the college promotion and tenure committee shall be optional in all cases where both the tenure initiating unit and the dean approve the renewal of the appointment. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the dean of the college. Before reaching a negative decision or a decision contrary to the tenure initiating unit's recommendation, the dean must consult with the college promotion and tenure committee (rule 3335-6-03 (C) (4) of the Administrative Code, <http://trustees.osu.edu/rules6/ru6-03.php>).

Fourth-year reviews will be made at the required times and will follow the same review process as for tenure and promotion with one exception. External letters of evaluation will not be solicited for fourth year review candidates.

2. Exclusion of Time from the Probationary Period

OAA Policies and Procedures Handbook; Volume 2, Faculty; 5.1 Birth of a child or adoption of a child under age six; Revised: 03/02/07; Edited: 08/01/07.

Units will notify OAA within one year of the birth of a child or the adoption of a child under age six of a probationary faculty member. One year will be excluded automatically from the probationary period unless a nonrenewal notice has been issued.

Rule 3335-06-03 (D) of the Administrative Code: Exclusion of time from probationary periods.

- (1) (1) *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 first of the year in which the mandatory review for tenure is scheduled to occur.*
- (2) (a) *A probationary tenure-track faculty member will have time excluded from the probationary period in increments of one year to reflect the caregiving responsibilities associated with the birth of a child or adoption of a child under age six. This exclusion is guaranteed provided the faculty member informs the head of her/his tenure initiating unit, the dean, or the office of academic affairs in writing within one year of the birth or the adoption unless the exclusion of time is prohibited by paragraph (D)(3) of this rule, and no later than April first of the mandatory review year. It is the responsibility of the unit head to inform the college dean and office of academic affairs of the birth or adoption. The probationary faculty member may decline the one-year exclusion by informing her/his unit head in writing before April first of the original mandatory review year. It is the responsibility of the unit head to inform the college dean and office of academic affairs of the faculty member's choice to decline the exclusion. The maximum amount of time that can be excluded from the probationary period per birth event or adoption is one year.*
- (3) (b) *A probationary tenure-track faculty member may apply to exclude time from the probationary period in increments of one year because of personal illness, care of a seriously ill or injured person, an unpaid leave of absence, or factors beyond the faculty member's control that hinder the performance of the usual range of duties associated with being a successful university faculty member, i.e., teaching, scholarship, or service. Requests to exclude time from the probationary period made under the terms of this paragraph must be submitted in writing to the head of the faculty member's tenure initiating unit within one year of the illness, care, or other factors. Requests shall be reviewed by the tenure initiating unit promotion and tenure committee which shall advise the head of the tenure initiating unit regarding the appropriateness of the request. In units that do not have a promotion and tenure committee, the eligible faculty shall review the request. Such requests require approval by the head of the tenure initiating unit dean, and executive vice president and provost. A request to exclude time from the probationary period for any of these reasons must be made prior to April first of the year in which the mandatory review for tenure must occur. The extent to which the event leading to the request was beyond the faculty member's control, the extent to which it interfered with the faculty member's ability to be productive, and the faculty member's accomplishments up to the time of the request will be considered in reviewing the appropriateness of the request.*
- (4) (c) *Probationary tenure-track faculty members on less than full-time service for part or all of their probationary period may request an exclusion of time from the probationary period on the basis that they are less than-full time. Such requests require approval of the tenure initiating unit chair, dean, and executive vice president and provost. The exclusion shall be for an integral number of years based on the principle that the usual probationary period*

represents full-time service. The maximum permissible exclusion of a probationary period under this paragraph is one year for a probationary instructor, three years for a probationary assistant professor and two years for a probationary associate professor or professor.

- (5) (2) A request to exclude time from the probationary period for any reason will not be granted after a nonrenewal notice has been issued nor will previously approved requests to exclude time from the probationary period in any way limit the university's right not to renew a probationary appointment.*
- (6) (3) Except in extraordinary circumstances, a maximum of three years can be excluded from the probationary period for tenure track faculty for any reason or combination of reasons covered in the provisions in paragraphs (D)(1)(a) and (D)(1)(b) of this rule. For probationary faculty who are on appointments of less than full time, the maximum is four years for an instructor, six years for an assistant professor, and five years for an associate professor or professor for any reason or combination of reasons covered in the provisions in paragraphs (D)(1)(a),(D)(1)(b), and (D)(1)(c) of this rule. Exceptions require the approval of the tenure initiating unit chair, dean, and executive vice president and provost.*
- (7) (4) Tenure-track faculty members will be reviewed annually during their probationary periods regardless of whether time is excluded from that period for any of the above reasons unless their absence from campus during an excluded period makes conduct of such a review impractical.*
- (8) (5) For purposes of performance reviews of probationary faculty, the length of the probationary period is the actual number of years of employment at this university less any years of service excluded from the probationary period under the terms of this rule. Expectations for productivity during the probationary period cannot be increased as a consequence of exclusions of time granted under the terms of this rule. Probationary faculty who are on part-time appointments should be reviewed in the context of their reduced duties.*
- (9) (6) The exclusion of time granted under for reasons specified in this rule in no way limits the award of promotion and tenure prior to the mandatory review year.*

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.

B. Procedures: 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.

C. Procedure: Professional Practice Faculty

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

In the 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 (<http://trustees.osu.edu>) must be observed.

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

D. Procedure: Research Faculty

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.

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

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

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. 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.

F 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.

VII. 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 by January 31 of each year. Updating includes new information on publications, awards, presentations, grants, committee assignments, teaching activities, achievements, etc. These records are maintained in the department's office and 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 market value.

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 report 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 provost 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 and are encouraged to submit an updated curriculum vitae to the chair by January 15.

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 SEI. Faculty members may supplement the required instrument(s) with evaluative instrument(s) of their own design. All evaluative forms will be administered by another faculty member, a TA assigned to the course, or other designated person to be determined by the department chair.

VIII. 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 (<http://trustees.osu.edu/rules6/ru6-02.php>) 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 another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

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 under these rules “scholarship” is broadly defined to include “research, scholarly, and creative work” (rule 3335-6-02 (A) of the Administrative Code, <http://trustees.osu.edu/rules6/ru6-02.php>).

8.A. Criteria

8.A.1.Criteria: Promotion of Tenure-track faculty to Associate Professor

The department endorses rule 3335-6-02 (C) of the Administrative Code (<http://trustees.osu.edu/rules6/ru6-02.php>) 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.

8.A.2. Criteria: Promotion of Tenure-track Faculty to professor

The department endorses rule 3335-6-02 (C) of the Administrative Code (<http://trustees.osu.edu/rules6/ru6-02.php>) 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.

8.A.3. Criteria: Promotion of Professional Practice Faculty

Promotion to Associate Professor of Professional Practice. 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.

Promotion to Professor of Professional Practice. 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.

8.A.4. Criteria: Promotion of Research Faculty

Promotion to Research Associate Professor. 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.

Promotion to Research Professor. 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.

8.A.5

For each level of promotion within each area of scholarship (teaching, research, outreach, and service) collegiality will also be evaluated.

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, 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.

Good faculty member citizenship is defined for promotion and tenure decisions as full and open participation in and adherence to the processes and procedures of university, department, faculty members, and professional governance. Primary loyalty should be toward the department as a whole, the university, to the academic and intellectual processes essential to them, and to the scientific discipline(s) which impact the faculty member's professional responsibilities. Exceptional faculty member citizenship also requires open, objective, and timely communication and discussion with others about department or institutional issues. Department and university affairs must be conducted with integrity and professionalism.

Among the specific criteria for promotion and tenure are evidence of "scholarly activity", "service", and that the faculty member under consideration demonstrate

"superior intellectual attainment". Within those criteria, incivility or uncollegiality promulgated by lack of scholarly approach or intellectual consideration of the scope or impact of issue(s) may be the basis for a negative tenure consideration on the basis of failure to demonstrate "superior intellectual attainment" and lack of "scholarly activity". Failure to participate openly in and adhere to the department and university governance processes to effect change and decisions may become the basis for a negative promotion or tenure decision by virtue of inadequate quantity and/or quality of service to the department and university. The capacity for reasoned statements and logic, with consideration of broader or alternative views, to a debated issue is one sign of "superior intellectual attainment". However, expression or adherence of views or opinions differing markedly and persistently from those of the rest of the department or administration must not be considered as a basis for a negative promotion or tenure recommendation if such contrary views have scholarly and intellectual foundations and presentations. Care must be taken so as not to construe civility and collegiality as equivalent to personal likes and dislikes.

8.A.5.1 Teaching

Effective teaching is an essential responsibility of all faculty members in the department. 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.

8.A.5.1.1 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. teaching assistants (TA);
- advising of undergraduate and graduate students; and
- directing graduate and undergraduate research programs and activities.

The 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, text books 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.

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.

8.A.5.1.2 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.

8.A.5.2 Scholarship

All faculty members are expected to develop a research program, 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.

8.A.5.2.1 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.

8.A.5.2.2 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.

8.A.5.2.3 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.

8.A.5.3 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.

8.A.5.3.1 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. Examples follow.

8.A.5.3.2 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 (clientele) organizations 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.

8.B 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 (<http://trustees.osu.edu/rules6/ru6-04.php>) where:

8.B.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 department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.
- To review the list of potential external evaluators developed by the department chair. The candidate may supply additional names for external evaluators, but is not required to do so. The candidate may request the removal of names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see External Evaluations below.)

8.B.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 (<http://trustees.osu.edu>) for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
- 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 faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the 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.

8.B.3 Eligible Faculty Responsibilities

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

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

4. 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 warrants 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.

8.B.4 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 full professors at institutions comparable to Ohio State. In the case of an assistant

professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

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

Since the 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 (<http://trustees.osu.edu>) 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.

IX. APPEALS

Rule 3335-47-05(A) 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 (<http://trustees.osu.edu/rules5/ru5-05.php>).

Rule 3335-5-05 states:

It is the policy of the Ohio State University to make decisions regarding the renewal

of probationary appointments and promotion and tenure in accordance with the standards, criteria, policies, and procedures stated in these rules, supplemented by additional written standards, criteria, policies, and procedures established by tenure initiating units and colleges. If a candidate believes that a nonrenewal decision or negative promotion and tenure decision has been made in violation of this policy and therefore alleges that it was made improperly, the candidate may appeal that decision. Procedures for appealing a decision based on an allegation of improper evaluation are described in rule 3335-5-05 of the Administrative Code.

X. SEVENTH YEAR REVIEW

Rule 3335-5-05(B) of the Administrative Code (<http://trustees.osu.edu/rules6/ru6-05.php>) 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 review. The text of the rule follows:

Every effort should be made to consider new information about a candidate's performance before a final decision is made if the new information becomes available before a decision is rendered. In rare instances, a tenure initiating unit may petition the dean to conduct a seventh year review for an assistant professor who has been denied promotion and tenure. Both the eligible faculty of the unit and the chair must approve proceeding with a petition for a seventh year review. The petition must provide documentation of substantial new information regarding the candidate's performance that is germane to the reasons for the original negative decision. Petitions for seventh year reviews must be initiated before the beginning of the last year of employment because the seventh year review, if approved, would take place during the regular university review cycle of the assistant professor's seventh and last year of employment.

If the dean concurs with the tenure initiating unit's petition, the dean shall in turn petition the provost for permission to conduct a seventh year review. If the provost approves the request, a new review will be conducted equivalent to the one that resulted in the nonrenewal of the appointment. The conduct of a seventh year review does not presume a positive outcome. In addition, should the new review result in a negative decision, the faculty member's last day of employment is that stated in the letter of nonrenewal issued following the original negative decision.

A faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by his or her tenure initiating unit, or appeal a negative decision following a seventh year review, since the faculty member has already been notified that tenure has been denied at the conclusion of the sixth year review.

XI. Procedures for Student and Peer Evaluation of Teaching

A. Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (eSEI) is required in every 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 oversees the department's peer evaluation of teaching process.

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

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

- to review the teaching of probationary tenure-track and professional practice faculty at least once per year during the first two years of service, and at least twice more before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned
- to review the teaching of tenured associate professors and nonprobationary associate professors of professional practice at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six year period and of having at least two peer reviews of teaching before the commencement of a promotion review
- to review the teaching of tenured professors and nonprobationary professors of professional practice at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews

should also seek the services of the University Center for the Advancement of Teaching (www.ucat.osu.edu).

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

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