

# School of Environment & Natural Resources

Appointments, Promotion and Tenure

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## I. PREAMBLE

### A. Policy Basis for this Document

This document is a supplement to Chapter 6 and 7 of the [Rules of the University Faculty](#), the Office of Academic Affairs procedural guidelines for promotion and tenure reviews, and any additional policies established by the College and the University. Specific citations from the University rules, policies and guidelines are italicized. Should those rules and policies change, the School 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 School Director.

This document must be approved by the Dean of the College and the Office of Academic Affairs before it can be implemented. It sets forth the School's mission and, in the context of that mission and the mission of the College and University, its criteria and procedures for faculty appointments, and criteria and procedures for faculty promotion, tenure and rewards including merit increases. In approving this document the Dean and the Office of Academic Affairs accept the mission and criteria of the School and delegate to it the responsibility to apply high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria.

### B. General Considerations of Faculty Rule 3335-6-01

#### 1. Principles Binding to Faculty and Administration

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

## 2. Anti-Discrimination Policy

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's policy on equal opportunity (<http://hr.osu.edu/policy/policy110.pdf>).

## II. VISION AND MISSION

### A. Our Premise

Cohen<sup>1</sup> has stated that basic ecology married to human purpose begets applied ecology, the aim and objectives of which are to satisfy human desires and wants. People's sustenance and well-being, therefore, are inextricably linked to the earth and its endowment of natural resources. But because people often over-utilize or mismanage natural resources through short-term goals, expediency, ignorance, and/or desperation, the natural resource base and ecological processes that sustain this base become compromised. It is the School's premise that the sustainability of humankind's well-being is predicated on the wise use and management of its natural resource base and the maintenance of the integrity of those ecosystem processes that sustain and undergird this natural resource base. This premise was also espoused by Aldo Leopold<sup>2</sup> who stated that "the practice of conservation must spring from a conviction of what is ethically and aesthetically right, as well as what is economically expedient. A thing is right only when it tends to preserve the integrity, stability, and beauty of the community, and the community includes the soil, waters, fauna, and flora, as well as people."

### B. Our Concept

*The School of Environment and Natural Resources is an interdisciplinary program addressing natural resources sciences for the well-being of society and the biosphere. The School's foundation is its interdisciplinarity, coupling the natural sciences with the social sciences and human dimensions of sustainable natural resources management for the well-being of people and society.*

### C. Our Vision

*A productive society in harmony with a sustainable and healthy environment. The School of Environment and Natural Resources will be guided by the enduring vision of a productive society whose use of its resources is in harmony with an environment that is sustainably managed with a deeply held stewardship ethic.*

### D. Our Mission

*To enhance and impart knowledge of natural and social systems and their essential relationships in the context of natural resource use and management and to continuously improve the academic strength of the School through effective teaching, including extension teaching, sound research, and hiring the best possible faculty.*

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<sup>1</sup> Cohen, J.E. 1995. How Many People Can the Earth Support W.W. Norton and Co., Inc. N.Y., p. 248.

<sup>2</sup> Leopold, A. 1947. The Ecological Conscience. Wisc. Cons. Bull. 12(12):4-7.

## **E. Goals**

The School's goals are to 1) provide leadership, 2) educate students and the public, and 3) generate new knowledge through research and integrate new and existing knowledge/data sets in order for individuals and society to utilize and manage natural resources in an environmentally compatible and socially acceptable manner. These goals are achieved through the development and application of science- and research-based management strategies, practices, and policies. These goals are also achieved by hiring high quality faculty who execute effective scholarship in all its forms for a variety of disciplines and programs that integrate the natural and social sciences. The School provides the academic home where natural sciences and social sciences are brought together to address these goals.

## **III. DEFINITIONS**

### **A. Committee of the Eligible Faculty**

#### **1. Tenure-track Faculty**

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the school. 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, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the school excluding the school director, 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 school excluding the school director, 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 school and all professional practice faculty whose primary appointment is in the school. 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 professional practice faculty consists of all tenured faculty of higher rank than the candidate whose tenure resides in the school and all non-probationary professional practice faculty of higher rank than the candidate whose primary appointment is in the school excluding the school director, 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 school and all research faculty whose primary appointment is in the school. 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 higher rank than the candidate whose tenure resides in the school and all non-probationary research faculty of higher rank than the candidate whose primary appointment is in the school excluding the school director, 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 or appointment review of that candidate.

### **5. Minimum Composition**

In the event that the school does not have at least three eligible faculty members who can undertake a review, the school director, after consulting with the dean, will appoint a faculty member from another tenure-initiating unit within the college.

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

The school has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of four professors and two associate professors. The committee's chair and membership are appointed by the school director. The term of service is three years, with reappointment possible.

When considering cases involving professional practice or research faculty the Promotion and Tenure Committee may be augmented by not more than two nonprobationary professional practice or research faculty members.

### **C. Quorum**

The quorum required to discuss and vote on all personnel decisions is two-thirds 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 school director has approved an off-campus assignment.

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

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

In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are not 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 two-thirds 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 two thirds of the votes cast are positive.

## **IV. APPOINTMENTS**

### **A. Criteria**

#### **1. Tenure Track Faculty**

##### **a. Minimum Requisites**

In keeping with the School’s and University’s mission for effective teaching, sound research, service, and overall faculty excellence, tenure-track faculty shall be appointed to the School’s faculty through 1) a strategic planning and prioritization process to identify specific faculty needs and 2) a national-international search. Unless the terminal degree in a field or discipline is something other than the Ph.D., an earned doctorate in the discipline(s) of choice shall be the minimum requisite for appointment at the rank of assistant professor or higher.

##### **b. Length of Probationary Period (Faculty Rule 3335-6-03)**

###### *i. Professor and Associate Professor*



Appointment at senior rank requires that the individual, at a minimum, meet the school's criteria in teaching, scholarship, and service for promotion to these ranks. 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 school 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.

*ii. Assistant Professor*

An appointment to the rank of assistant professor is always probationary. 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. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate.

**2. Instructor**

Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The school will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the school's eligible faculty, the school director, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted. In addition all probationary faculty members have the option to be considered for early promotion.

**3. Tenure Track Faculty – Regional Campus**

Faculty appointed to Assistant Professor or higher positions at a regional campus with the School as the tenure-initiating unit shall hold an earned doctoral degree unless the terminal degree in a field or discipline is something other than the Ph.D. Probationary periods are the same as for faculty appointed to positions on the Columbus campus.

#### **4. Professional Practice Faculty**

Professional Practice faculty are fixed term contract appointments that do not involve tenure. Professional Practice faculty must teach assigned SENR courses in the undergraduate core and/or majors, and/or in the graduate specializations. Professional Practice faculty should also contribute to student advising and mentoring, be actively involved in curriculum development, and engage in service and continuing education programs consistent with expectations for tenure-track faculty at a similar rank.

##### **a. Assistant Professor of Professional Practice in ENR:**

Appointments at the rank of Assistant Professor of Professional Practice require clear evidence of experience in the practice of the discipline, (for example, evidence of college level teaching, including student and peer evaluations, and/or evidence of non-formal educational offerings that include participant evaluations), knowledge of subject matter in the area of specialization, and the ability to share and transfer this experience and knowledge to students. The candidate shall hold an earned doctoral degree unless the terminal degree in a field or discipline is something other than the Ph.D. Promise of excellence in service and professional accomplishment are also desirable.

##### **b. Associate Professor and Professor of Professional Practice in ENR:**

Requirements include those defined for the rank of Assistant Professor of Professional Practice. In addition, a substantial record of outstanding teaching, student advising and mentoring, curriculum development, and continuing education offerings consistent with expectations for tenure-track faculty at that level must be demonstrated.

#### **5. Research Faculty**

Research faculty are on fixed term contract appointments that do not involve tenure. Research faculty must be engaged in research related to the mission and goals of the School.

##### **a. Research Assistant Professor**

The minimum requirements for appointment include an earned doctoral degree in a relevant discipline, evidence of having brought research to published completion in peer-reviewed outlets, and a proven record of extramural funding in support of research. Extramural or non-GF funding sufficient to support for one year the candidate's salary, research laboratory, staff, and graduate associates should either be in place or formally committed before the candidate will be considered for appointment.

##### **b. Research Associate Professor and Research Professor**

Requirements include those defined for the rank of Research Assistant Professor. In addition, a substantial record of scholarship and independent funding

consistent with expectations for a tenure-track faculty appointment at that level must exist.

## **6. Associated Faculty**

### **a. General**

Persons holding associated titles (adjunct, visiting, and lecturer titles) or with professorial titles and serving on less than 50 percent appointments are not eligible for tenure, may not vote at any level of governance, and may not participate in promotion and tenure matters. Associated faculty appointments may be made for a period of a couple weeks or semester up to three years, and may be reappointed. Visiting professorships are limited to three years.

### **b. Non-Compensated Associated Faculty**

These faculty include uncompensated adjunct faculty and visiting faculty. Adjunct faculty can hold the titles of Adjunct Assistant Professor, Associate Professor, or Professor and can be promoted through these ranks as set forth in this document. Visiting faculty will normally carry the title granted at their home institution. In all cases, uncompensated affiliated faculty will be expected to have academic credentials comparable in rank to tenure-track School faculty of equivalent rank and shall provide significant, uncompensated service to the instructional and/or research program of the School.

### **c. Compensated Associated Faculty**

These faculty include lecturers and senior lecturers and may include faculty with tenure-track titles below 50 percent appointments and visiting faculty. Because these faculty are compensated, they will be contracted for very specific service to the School as spelled out in their contractual document. Appointment as lecturer requires that the individual have, at a minimum, a Master's or Professional (such as a J.D.) degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed one year. Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer should generally not exceed one year.

## **7. Courtesy Appointments for Faculty**

This faculty category pertains to non-compensated (no-salary) faculty appointments for tenure-track and research faculty from other tenure-initiating units. Non-compensated faculty will carry the same titles as in their tenure-initiating units and will be expected to

have academic credentials commensurate with School faculty of equivalent rank. These faculty are expected to provide substantial involvement and contributions to the academic work and mission of the School through such service as teaching courses or portions thereof (beyond occasional guest lectures), providing continuing service on graduate students' committees, co-principal investigator (PI) involvement, etc. Continuation of these appointments should be based on ongoing contributions.

## B. Procedures

### 1. General Procedures

All faculty appointments shall be approved through a formal process requiring concurrence of both the faculty and School Director. At no time will faculty be appointed within the School without this protocol being followed.

### 2. Tenure-Track Faculty Procedure

All tenure-track faculty positions will be identified, described, and approved by the faculty and School Director as part of the School's on-going strategic planning and faculty prioritization process. Upon position approval by the Dean and appropriate College administrators/directors, a search committee shall be appointed by the Director and charged by the Dean for the purpose of receiving a diverse pool of nominations and conducting a national-international search for qualified candidates. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#). Prior to any search, members of all search committees must undergo inclusive hiring practices training available through the college with resources from the [Office of Diversity and Inclusion](#). Implicit bias training, also strongly encouraged, is available through the [Kirwan Institute for the Study of Race and Ethnicity](#).

[The Search Committee appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.](#)

[The Search Committee also](#) develops a search announcement for internal posting in the university Job Postings through the [Office of Human Resources](#) and external advertising, subject to the School Director's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.

The Search Committee develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must

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

The Search Committee shall screen the applicants, recommend candidates to be interviewed to the Director, and conduct the on-site interview protocol with full participation of the faculty. On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the Search Committee; graduate students; the School Director; and the Dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship, and if deemed appropriate for the search, teach a class. The latter could be an actual class or a mock instructional situation. All candidates interviewing for a particular position must follow the same interview format.

Following all candidate interviews, the Search Committee will convene to review and assess the strengths, weaknesses, and potential faculty fit of each candidate, and advise the Director regarding the acceptability of each candidate. The Director will call a meeting of the eligible faculty to discuss the candidates and preferences, and to vote on each candidate. If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. Through this process, the Director will develop and make a recommendation to the Dean. Should the recommendation of the Director differ from the majority or consensus recommendation of the faculty, the Director shall be required to come before a meeting of the eligible faculty to explain the decision rationale prior to making a recommendation to the Dean. When authorized by the Dean to make an offer, the Director shall offer the position to the selected candidate and negotiate financial and other considerations within the guidelines and constraints established in consultation with the Dean and appropriate directors (e.g. OARDC, OSUE, and Academic). All offers at the associate professor and professor ranks, with or without tenure, and all offers of prior service credit require approval of the Office of Academic Affairs (OAA). Offers to foreign nationals require prior consultation with the Office of International Affairs. The university does not grant tenure in the absence of permanent residency status. Details of any offer involving an appointment split between two or more academic units will be approved by OAA, prior to its being made.

### **3. Tenure Track Faculty – Regional Campus Procedures**

In the case of a tenure-track or tenured position on a regional campus, the regional campus Dean has the responsibility for determining the need for a position and for the position description but should consult with and seek agreement with the School

Director. The School Director and the regional campus Dean shall appoint a single search committee consisting of members of both units. That committee shall conduct a national search for qualified candidates, screen the applicants, recommend to the regional campus Dean and School Director candidates to be interviewed, and conduct an on-site interview protocol on both campuses. During the interview process, the School's faculty will evaluate each candidate's record and potential as a researcher. Following the interviews, the search committee shall assess each candidate's strengths and weaknesses and make a recommendation to the regional campus Dean and to the School's eligible faculty on the acceptability of each candidate. The School Director shall convene a meeting of the School's eligible faculty to discuss the recommendation of the Search Committee and make a recommendation to the Director on the acceptability of each candidate. A decision to hire requires agreement of the School Director, the FAES Dean and the regional campus Dean. When such concurrence is achieved, a letter of offer signed by the School Director and the regional campus Dean may then be sent to the successful candidate. Negotiations with the successful candidate on financial and other matters shall follow the transmission of the letter of offer.

#### **4. Professional Practice Faculty Procedure**

**Appointment:** Professional Practice faculty may be appointed for three- to five-year contracts. During and until the end of the second and subsequent contract periods, clinical faculty appointments may only be terminated for cause (see rule [3335-5-04](#) of the Administrative Code) or financial exigency (see rule [3335-5-02.1](#) of the Administrative Code) and the termination decision for either of these reasons shall result from procedures established by faculty rules. In addition, a contract may be renegotiated during a contract period only with the voluntary consent of the clinical faculty member. By the end of the penultimate year of each contract period, the clinical faculty member will be informed as to whether a new contract will be extended at the conclusion of the current contract period. If a new contract is not extended, the final year of the current contract is a terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

**Governance Rights:** Professional Practice faculty may serve on the University Senate and committees and task forces, and may serve on appropriate School committees. Professional Practice faculty may advise graduate students, following approval of the Graduate School as per Rule [3335-7-11](#) and detailed in the [Graduate School Handbook](#). Professional Practice faculty may not vote on the promotion and/or tenure of tenure-track faculty, but may vote on the promotion of Professional Practice faculty.

##### **a. Assistant Professor of Professional Practice in ENR**

###### **i. Application**

Professional Practice faculty positions will be identified, described, and approved by the faculty and Director as part of the School's on-going strategic planning and faculty prioritization process. The Director

proposes a strategy for filling the position and consults faculty regarding a National versus directed search. Exceptions to a National search require College approval. The Director will submit an authorization request for approval of the position and search strategy by the Dean and appropriate College administrators/directors.

If a National search is indicated, the Director will appoint a search committee charged by the Dean for the purpose of receiving a diverse pool of nominations and conducting a national-international search for qualified candidates, following the same procedures for Tenure Track faculty (Section IV B 2), with the exception that the candidate's presentation during the on-campus interview is on professional practice rather than scholarship.

If a directed search is approved, the Director will direct the Promotion and Tenure Oversight Committee to request application materials from the candidate to be reviewed by the P&T Committee. Application materials should include:

- A letter describing the intended teaching and training contributions to the School
- A complete CV
- Three letters of support from outside the School solicited by the Promotion and Tenure Oversight Committee.
- A letter of support from a current tenure-track faculty member who has agreed to serve as an advocate.

#### ii. Review and Evaluation.

The application materials will initially be reviewed by the SENR P&T Committee. Following a positive recommendation from the P&T Committee, the candidate shall complete an interview process similar to those conducted for tenure-track faculty, though emphasizing the candidate's teaching qualifications. As soon as possible following the interview, the eligible faculty will meet to discuss the strengths and weaknesses of the candidate and to conduct a vote. A report of the proceedings will be submitted by the Chair of the P&T Committee to the School Director, who will decide whether to proceed with a recommendation for an appointment to the Dean. The Director must also approve space and equipment allocations.

#### **b. Associate Professor and Professor of Professional Practice in ENR**

Application procedures and the subsequent review and evaluation of candidates for positions as Associate Professor or Professor of Professional Practice shall be as described in Part A., except that final approval of an appointment is required by the Dean of the College of Food, Agricultural and Environmental Sciences and

the Office of Academic Affairs.

## 5. Research Faculty Procedure

**Appointment:** Research faculty may be appointed for one- to five-year contracts. During and until the end of the second and subsequent contract periods, research faculty appointments may only be terminated for cause (see rule [3335-5-04](#) of the Administrative Code) or financial exigency (see rule [3335-5-02.1](#) of the Administrative Code) and the termination decision for either of these reasons shall result from procedures established by faculty rules. In addition, a contract may be renegotiated during a contract period only with the voluntary consent of the clinical faculty member. By the end of the penultimate year of each contract period, the clinical faculty member will be informed as to whether a new contract will be extended at the conclusion of the current contract period. If a new contract is not extended, the final year of the current contract is a terminal year of employment. There is no presumption that a new contract will be extended. In addition, the terms of a contract may be renegotiated at the time of reappointment.

**Governance rights:** Research faculty may serve on University committees and task forces and may serve on appropriate School committees. Research faculty may advise graduate students, supervise postdoctoral researchers, and be a principal investigator on extramural grant applications. Approval to advise graduate students must be obtained from the Graduate School as per Rule [3335-5-29](#) and detailed in the [Graduate School Handbook](#). Research faculty may not vote on the promotion and/or tenure of tenure-track faculty.

### a. Research Assistant Professor

#### i. Application

Research faculty positions will be identified, described, and approved by the faculty and Director as part of the School's on-going strategic planning and faculty prioritization process. The Director proposes a strategy for filling the position and consults faculty regarding a National versus directed search. Exceptions to a National search require College approval. The Director will submit an authorization request for approval of the position and search strategy by the Dean and appropriate College administrators/directors.

If a National search is indicated, the Director will appoint a search committee charged by the Dean for the purpose of receiving a diverse pool of nominations and conducting a national-international search for qualified candidates, following the same procedures for Tenure Track faculty (Section IV B 2).



If a directed search is approved, the Director will direct the Promotion and Tenure Oversight Committee to request application materials from the candidate to be reviewed by the P&T Committee. Application materials should include:

- A letter describing the intended research contribution to the School
- A statement of research plans, including detailed information on current funding
- A complete C.V.
- Three letters of support from outside the School
- A letter of support from a current tenure-track faculty member who has agreed to serve as an advocate.

#### ii. Review and Evaluation

The application will initially be reviewed by the SENR P&T Committee. Following a positive recommendation from the P&T Committee, the candidate shall complete an interview process typical of those conducted for tenure-track faculty, with an emphasis on the candidate's research experience and proposals. As soon as possible following the interview, the eligible faculty will meet to discuss the strengths and weaknesses of the candidate and to conduct a vote. A report of the proceedings will be submitted by the Chair of the P&T Committee to the School Director, who will decide whether to recommend an appointment to the Dean. Space and equipment allocations must also be approved by the Director.

#### b. Research Associate Professor and Research Professor

Application procedures and the subsequent review and evaluation of candidates for positions as Research Associate Professor or Research Professor shall be as described in Part A., except that final approval of an appointment is required by the Dean of the College of Food, Agricultural and Environmental Sciences and the Office of Academic Affairs.

### 6. Transfers

Transfers from a Tenure Track appointment to a Professional Practice or Research appointment are permitted according to Faculty Rule [3335-7-38](#), but a transfer from the Professional Practice or Research faculty to the tenure track faculty is not permitted (Faculty Rule [3335-7-39](#)). A Professional Practice or Research faculty member could gain a Tenure Track position if the candidate successfully competes in a national search for a tenure-track position ([3335-7-39](#)). Transfers between the Research and Professional Practice faculty are permitted.

For transfer *to* the Professional Practice or Research faculty, a faculty member must submit a written request that clearly states how her/his goals and activities have changed, and provide clear evidence of qualifications and experience as outlined in IVA5 and IVA6 above. When transferring to the Professional Practice or Research faculty,

tenure is relinquished. The School Director, the Dean of the College of Food, Agricultural and Environmental Sciences, and the Executive Vice President and Provost, must approve a transfer.

### **7. Associated Faculty Procedure**

Associated faculty appointments, either requested by individuals or recommended by School tenure-track or research faculty or the School Director, shall be submitted to the School's Academic Affairs Committee for review. This review shall include at a minimum 1) a copy of the candidate's vita, 2) a letter of request by the individual seeking associated faculty status or a letter of nomination by a School faculty member or Director outlining the rationale for the appointment and benefit to the School, and 3) an on-site interview with the Academic Affairs Committee and/or the School Director and/or faculty unless specifically waived due to prior appointment or other circumstances. The Academic Affairs Committee shall make its recommendation to the Director and a meeting of the faculty. Approval will be obtained by majority vote of the eligible faculty. All associated faculty appointments will be reviewed annually for reappointment. In cases where contractual arrangements are made with associated faculty for specific, but temporary, assignments (e.g. teaching a course vacated by a retirement or faculty member leaving the School), the Director shall confer with the Associate Director and the School's Academic Affairs Committee before such appointments are made, in the interest of maintaining faculty quality and academic program integrity.

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

### **8. Courtesy Appointments for Faculty**

Non-compensated faculty appointment procedures shall follow the same protocol as for affiliated faculty. While these appointments do not require formal annual renewal, the School Director should initiate biennial review of such appointments to ensure that substantial involvement in the School's programs is being maintained.

## **V. ANNUAL REVIEW PROCEDURES**

### **A. General**

The department follows the requirements for annual reviews as set forth in the [Policy on Faculty Annual Review](#).

The annual faculty review serves as a basis for 1) formal communication between the Director and faculty member regarding accomplishments of the previous year and responsibilities and expectations for the next year, 2) determining whether to renew a probationary appointment

(if relevant), 3) formulating annual merit salary recommendations, 4) assisting faculty in professional development, 5) calling attention to strengths and weaknesses or performance problems where they exist, and 6) monitoring progress toward tenure and/or promotion decisions (if relevant).

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

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. On or about January 3 each year, every faculty member will complete and submit a summation of the past year's accomplishments using OSU's current electronic reporting system along with an updated curriculum vitae. That electronic report and the faculty annual review will result in a statement of "Expectations and Responsibilities" that will be included in the annual review letter provided to the faculty. Part of the annual review will be the update and maintenance of each faculty member's web page. Faculty not providing full documentation on their past performance, expectations and responsibilities, or web page update are subject to no merit increase consideration.

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

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

Annually, the Director shall meet with every probationary tenure-track faculty member to discuss the faculty member's performance, including strengths and weaknesses, future goals and plans, and the status of the emerging P & T dossier. The discussion will be guided by the faculty member's original or revised position description, and an Annual Statement of Expectations and Responsibilities, discussed by the Director and faculty member the previous year and narrated in the previous year's annual review letter. Following this meeting, the faculty member must receive written feedback from the Director specifying the elements of this review, including the faculty member's strengths and weaknesses. The feedback includes a recommendation on whether to renew the probationary appointment.

If the Director recommends renewal of the appointment, this recommendation is final. The school director's annual review letter to the faculty member renews the probationary appointment for another year. The faculty member may provide written comments on the review. The Director's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

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

### **1. Probationary Faculty at Regional Campuses**

Probationary faculty on regional campuses shall be reviewed annually by the regional campus Dean and by the School Director. The regional campus review shall focus on teaching and service, and shall precede the School's review. The Dean's report of the regional campus review and a copy of the faculty member's annual report shall then be forwarded to the School Director. The School review shall focus on the faculty member's research and scholarly work. The standards for quality applied to the review of research and scholarly production by a regional campus probationary faculty member shall be the same as those applied to the review of probationary faculty members on the Columbus campus. The standards for quantity of research and scholarly production may, however, be lower for faculty on regional campuses. In the event of divergence in performance assessment between the regional campus and the School, the School Director discusses the matter with the regional campus dean/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice. The Director shall provide a written summary of the School review to the faculty member with copies to the regional campus.

### **2. Fourth Year Reviews**

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

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

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

The eligible faculty forwards a record of the vote and a written performance review to the School Director. The Director conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the School review, the formal comments process (per Faculty Rule [3335-6-04](#)) is followed and the case is

forwarded to the college for review, regardless of whether the School Director recommends renewal or nonrenewal.

### **3. Exclusion of Time from Probationary Period**

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

## **C. Tenured Faculty**

Associate professors and professors are reviewed annually by Director, who meets with the faculty member to discuss his or her performance and discuss future plans and goals based on materials submitted for the review (described above).

The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the School, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

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

Written feedback will be provided each faculty member regarding his/her performance, including the strengths and weaknesses of the faculty member's program.

## **D. Tenured Faculty—Regional Campus**

Annual review of the tenured faculty member is first conducted on the regional campus, with a focus on teaching and service. The review then moves to the School and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the School, the School Director discusses the matter with the regional campus dean/director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

## **E. Professional Practice Faculty**

The Director of SENR, or designated representative (e.g. Associate Director) will review Professional Practice faculty annually. The Director or designated representative will consider the faculty member's contributions to the School's teaching mission, including undergraduate, graduate, and continuing education, to curriculum development and planning, and to student

advising and mentoring. The Director or designated representative will also consider the faculty member's teaching evaluations for regular courses, both by students and peers, and participants' evaluations of continuing education offerings. The faculty member will receive written notification of the Director's or designated representative's findings. A Professional Practice faculty member may, but is not required to, participate in research activities, and may engage in technology transfer and consultative services to industry and /or allied organizations.

During and until the end of any contract period, Professional Practice faculty may be terminated for not meeting the terms of the contract. Regardless of rank, the first appointment of a Professional Practice faculty member is probationary, and s/he will be informed by the end of each year as to whether s/he will be re-appointed for the following year. In situations when courses are revised or eliminated due to curriculum changes, or when regular course enrollments decline below a sustainable level and/or continuing education offerings do not attract sufficient interest, terms of the contract may be re-negotiated with the consent of the faculty member prior to appointment or re-appointment.

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

If the position will continue, a formal performance review for reappointment is necessary in the 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. There is no presumption of renewal of contract.

#### **F. Research Faculty**

Research faculty will be reviewed annually by the Director of SENR. The Director will consider the faculty member's extramural funding, publication record, service, and mentoring activities, and expectations will be consistent with those for tenure-track faculty holding 100% research appointments. The faculty member will receive written notification of the Director's findings. A research faculty member may, but is not required to, participate in teaching activities. Teaching opportunities for research faculty must be approved by a majority vote of the School's tenure-track faculty.

During and until the end of any contract period, research faculty may be terminated for not meeting the terms of the contract (e.g., failure to secure extramural salary support). Regardless of rank, the initial appointment of a research faculty member is probationary, and s/he will be informed by the end of each year as to whether s/he will be re-appointed for the following year. Terms of the contract may be re-negotiated with the consent of the faculty member prior to appointment or re-appointment. In situations where the research faculty member's extramural support is interrupted, s/he may be eligible for salary funding for up to nine months if release time funds or funds from indirect cost recovery are available in the School budget.

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

If the position will continue, a formal performance review for reappointment is necessary in the 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. There is no presumption of renewal of contract.

### **G. Associated Faculty**

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the school director, or designee. The school director, 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 director will decide whether or not to reappoint. The school director's recommendation on reappointment is final.

## **VI. MERIT SALARY INCREASES**

### **A. Criteria**

#### **1. General Expectations**

Each faculty member is expected to 1) demonstrate quality teaching, including extension teaching, and document performance annually through student/extension clientele assessments, peer evaluation, and other appropriate forms of documentation, 2) develop a high quality and productive research program where the products are disseminated using peer review processes, and 3) provide service to the University and one's profession. This University is a teaching-research institution. No academic unit and no faculty member will do *only* teaching or *only* research. Therefore, each faculty member must contribute to the School's teaching-research-service mission even though the expectations of each faculty in contributing to this mission will vary significantly commensurate with his/her position description, budgetary appointment, and Annual Statement of Responsibilities and Expectations.

#### **a. Teaching and Research: Expectations and Scholarship**

Consistent with the mission of this Land Grant University and the School, the School must recognize no hierarchy of values among teaching (including extension teaching), and research. While these functions (resident instruction teaching, extension teaching, and research) are central to the School's and University's mission, they are not, in themselves, the elements or measures of scholarship, which is more fully described in the College Guidelines. Scholarship will define the quality of what we do – creative intellectual work that is validated by peers and communicated. Within the broad range of faculty expectations, responsibilities, and duties, as established through each faculty member's position description, budgetary appointment, and plan of work as defined through an Annual Statement of Responsibilities and Expectations, ample opportunity for scholarly achievement will be afforded to each faculty member.

#### **b. Development of Scholarship-Specialty Niche**

Each faculty member should develop a scholarship focus area or niche, one that he or she should be known for regardless of his or her budgetary appointment distribution and level of research assignment. This scholarship focus can be accomplished independently and/or collaboratively through a team or interdisciplinary approach.

#### **c. Performance Expectations**

Performance expectations are designed to determine the extent to which performance expectations are achieved and will be judged against the performance and scholarship norms among peers within the School, College, and University, and where data and information permit, at the national level. A faculty member cannot be tenured or receive average merit increases by simply executing his or her assigned teaching load in an 'ok', acceptable, or average manner and by developing a modest research program that, while generating some level of output, cannot be substantiated as being peer-respected or valued by other stakeholders through extramural grant support, citations or through evidence of making an impact.

#### **d. Faculty Citizenship**

In addition to teaching, research, and service components of a faculty member's expectations, for merit review "faculty citizenship" will be a component of evaluation and include such elements as carrying one's share of the service load (e.g. committees, etc.), contributing to the academic life of the School by participating in its decision-making processes, seminars and other functions, and demonstrating collegiality as described in Section VII of this document.



## 2. Performance Criteria

### a. Teaching: Resident Instruction and Extension-Outreach

Teaching and advising performance and quality must be demonstrated and ultimately judged on the basis of peer, extension clientele, and student assessments as defined in the School's Pattern of Administration, College Guidelines and OAA [Policies and Procedures Handbook](#), teaching and advising load, and contributions to the School's core courses. Student assessments must include the Student Evaluation of Instruction (SEI), alone or in combination with other acceptable instruments approved by the Director, for each course taught. Performance and quality of extension teaching must be documented using approved OSUE instruments, or other instruments agreed to by the Director. Formal peer review will also be required for courses agreed to in the Annual Statement of Responsibilities and Expectations. Merit salary increases related to teaching, both regular campus and extension teaching, will not be provided if these indicators are not provided. Criteria for evaluating teaching quality are consistent with the criteria for promotion and tenure and are outlined in section VII of this document.

### b. Research Achievement and Productivity

Research achievement and productivity will be assessed primarily by contributions in peer-reviewed and other citable, significant media, other documentable research contributions, attraction and advising of graduate students, acquisition of extramural funding, and awards for research achievement. Specific criteria are consistent with the criteria for promotion and tenure and are outlined in Section VII of this document.

### c. Service

The service component of performance will consist of both academic and professional service. Specific criteria for service are consistent with the criteria for promotion and tenure and are outlined in section VII of this document.

### d. Other Criteria and Basis for Salary Adjustments

While the previous calendar year's performance shall be the primary basis for determining merit salary increases, subjectivity and qualitative assessments require that the Director factor into faculty member's performance evaluations such considerations as reasons for deviations from previous or expected levels of productivity (e.g. illness, SRA or professional leave, shifts in research focus and/or pursuing high risk academic-research avenues, etc.). Thus, the Director must exercise qualitative judgment when evaluating faculty members' variability in output and weigh variability-inducing factors against norms of expected output, previous track record, and productivity compared to other School faculty.

## **B. Procedures**

### **1. Call for Annual Reports**

On or about January 3, a call for faculty annual reports (utilizing OSU's current electronic reporting system) shall be made. Updated CV's and web pages will also be requested.

### **2. Documentation**

The University's current electronic reporting system shall provide for faculty to document evidence of their academic performance, the criteria for which are set forth in Section VII of this document. Probationary tenure track faculty will follow the promotion and tenure dossier outline prepared by the OAA to record their performance for annual reviews and for salary determinations. All faculty will maintain an updated vita on file and published on the School's web site. An Annual Statement of Responsibilities and Expectations, prepared the previous year, will also be included in the documentation. In cases where faculty do not provide, refuse to provide, or provide insufficient documentation of performance in the form of (1) annual report, (2) annual statement of expectations and responsibilities; or (3) web page updates in order to permit an informed evaluation of their performance, merit increases will not be considered, and faculty cannot expect to recoup a foregone increase at a later time.

### **3. Annual Review Meeting**

The Director shall schedule an annual review meeting with each faculty for the purpose of reviewing the faculty member's academic performance as documented in his or her annual report, particularly in relation to the faculty member's Annual Statement of Responsibilities and Expectations, prepared the previous year. While the annual report serves as the basis for the evaluation, the faculty member will be provided ample opportunity during this meeting to expand upon all components of the annual report and/or his/her program in the interest of providing additional information and the fullest possible disclosure of his/her program and the merits thereof. The annual report format provides for each faculty member to set forth his/her concerns and issues as part of the agenda for the annual review. In addition, all procedures relevant to annual reviews outlined in section V of this document will be applicable in section VI.

### **4. Protocol for Establishing Annual Merit Salary Adjustments**

The Director will solicit input to the faculty evaluation process from the Associate Director and, where appropriate, the Assistant Director, Program Coordinators, and Committee Chairs. This input, at the request of the Director, may occur at any time during the faculty evaluation process, but must occur before the Director determines annual merit salary adjustments. The Director shall, after all faculty have been reviewed and after consultations with the Associate Director, assign each faculty member a merit salary adjustment based on Annual Merit and Compensation Procedures as determined by the University and Dean. Each faculty member will be notified by the Director of his/her merit salary adjustment.

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

#### **5. Salary Decisions for Faculty at Regional Campuses**

Salary decisions for regional campus faculty are made by each regional campus Dean and are paid from regional campus funds. Regional campus Deans are encouraged to consult with the School Director regarding salary recommendations for regional campus faculty for whom the School is the tenure-initiating unit.

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

Tenure and promotion are processes whereby innovative and creative scholars are added to the senior ranks of the School faculty. The foundation for the promotion and tenure process is peer review. The responsibility of the faculty, for matters of promotion and granting of tenure, is based on the principle that “scholars in a particular field or activity have the chief competence for judging the work of their colleagues. In such competence, it is implicit that responsibility exists for both adverse and favorable judgments.” (From Joint Statement on Government of Colleges and Universities formulated by the American Council on Education, the Association of Governing Boards of Universities and Colleges, and the American Association of University Professors). It shall be the School’s philosophy that the reviews for promotion and promotion with tenure are critical evaluative reviews conducted in the interest of developing a strong faculty. These processes should not be considered processes for advocacy on behalf of the candidate.

Quoting from Faculty Rule [3335-6-02\(D\)](#): *In evaluating the candidate’s qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances, superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institute dedicated to the discovery and transmission of knowledge.*

The Ohio State University expects faculty members seeking tenure and promotion to demonstrate a level of scholarly productivity and engagement that ensures continued productivity following the awarding of tenure. At The Ohio State University, the decision to grant tenure to a faculty member is based on an assessment of the candidate’s

accomplishments by his/her peers and by the senior administrators of the School, College and the Office of Academic Affairs.

In the School, academic achievement is judged in the context of the mission of the School and the expectations for distribution of effort. The Director, in the letter of offer, has recorded these expectations. Changes in distribution of effort are specified in the Director's annual review letter or other appropriate written documents for the individual faculty member. Evaluation for promotion takes place in the context of the faculty member's specific assigned duties, as documented in Annual Review letters provided by the Director, and the candidate should make a substantial contribution in these areas.

The School has high standards for the awarding of promotions, as these have a powerful impact on the quality and future of the School. Although criteria will vary according to the particular responsibilities of each faculty member, whether the faculty member is on the tenure or research track, and whether the decision is for tenure and promotion to Associate Professor or promotion from Associate Professor to Professor.

At the tenure review, candidates are expected to demonstrate excellence in: teaching; research/scholarship; professional service to publics including the School, College, University, or professional societies; and where appropriate by appointment, extension outreach. In addition, it is expected that the tenure-track candidate establish a focused area of research specialty from which publications suitable for peer-review in high quality journals will be developed. Faculty, in consultation with the School Director, will select focus areas within the School's broader mission that will become the basis of their contributions to the School's programs. The University recognizes that a diversity of paths to promotion benefits both the faculty member and the institution. The pattern of past performance should yield a high degree of confidence that the candidate will continue to develop professionally.

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

Excellence in teaching, research, outreach, and administrative service include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics  
<https://www.aaup.org/report/statement-professional-ethics>.

In addition, collegiality, civility, mutual support, and respect for others are strongly held values in the School of Environment and Natural Resources. In evaluating teaching, research, and service, the School faculty and Director will consider that the mission of the School and the necessity for positive interactions and contributions within its community of scholars cannot be achieved without good faculty citizenship and collegiality being demonstrated by the members

of this scholarly community (School, College, University). Therefore, each faculty member is expected to carry his/her load with respect to academic service, contribute to and participate in his/her professional organization(s), and contribute to and participate in the academic life of the School (e.g. through attendance and participation in seminars, invited speaker programs, faculty meetings, social events, student organization activities where faculty participation is expected or invited, etc.). Furthermore, each faculty member is expected to demonstrate respect and responsible behavior toward peers, staff, and students. While one can and must hold to his or her beliefs, values, and opinions, regardless of whether they coincide with the majority or administration's position, each of us has the responsibility to articulate our positions and opinions responsibly and tactfully so as not to be disruptive to the functioning of the School and/or irresponsible within the expected norms of civility. Without the ability to work effectively with others and exhibit a positive and supportive attitude, other positive attributes and contributions of a faculty member are compromised and the potential for collaborative efforts and advances are forfeited. One's demeanor and its impact on collegiality and the social well-being of the School and its public image cannot be ignored.

## A. Criteria

### 1. Promotion to the Rank of Associate Professor with Tenure

In accordance with Faculty Rule [3335-6-02](#)(B), tenure will not be awarded below the rank of Associate Professor. And as stated in Faculty Rule [3335-6-02](#)(C): *The awarding of tenure and promotion to the rank of Associate Professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.*

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

Promotion to Associate Professor with tenure in the School requires excellence in both teaching and scholarship, where scholarship is defined as research, scholarly and/or creative work. The promise of excellence in service is desirable.

Excellence in scholarship means attainment of measurable national or international recognition based on an appropriate amount and rate of high quality published research and/or other relevant creative endeavors. A successful candidate for promotion to the rank of Associate Professor will have achieved at minimum, an emerging national reputation as a scholar.

Excellence in teaching means the provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience.

Excellence in service means the provision of a high level of professional expertise and experience to one or more publics – including the university, the Columbus community, the State of Ohio, the nation, and professional organizations. The service contribution during the probationary period of Assistant Professors is limited by design. The most important judgment is that the candidate will achieve excellence in service in the future.

For faculty with an extension appointment, excellence in outreach education means effectively meeting the demands of outreach clientele and establishing a reputation with practitioners as a mediator of knowledge. There should be evidence of emerging national impact of extension activities.

The substantial probability that a high rate of quality scholarship and excellence in teaching and service will continue needs to be established. The claim that retention of the candidate will improve the overall quality and standing of the School needs to be supported.

Promotion to Associate Professor with tenure must occur within 6 years of the date of hire, but individuals may submit their dossier for tenure review prior to their sixth year. If an individual chooses to do so, his/her dossier will still be evaluated according to the same expectations and guidelines of an individual who takes the full 6 years.

The accomplishments listed below in the areas of teaching, research, outreach, and administrative service are expected of faculty for promotion to Associate Professor with tenure. Probationary faculty are expected to develop a local and national reputation among their peers for excellence in teaching and research. In the evaluation of untenured Associate Professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

#### **a. Teaching**

**For promotion to Associate Professor with Tenure, a faculty member is expected to have:**

- Provided up-to-date content at an appropriate level and demonstrate continuing growth in knowledge of subject matter.
- Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm.
- Demonstrated creativity in the use of various modes of instruction and teaching strategies to create an optimal learning environment.
- Actively engaged students in the learning process and encouraged independent thought, creativity, and appreciation of discovery of new knowledge.
- Provided appropriate and timely feedback to students throughout the instructional process.
- Treated students with respect and courtesy.

- Participated on graduate committees.
- Mentored graduate students in their research and all other aspects of the degree program.

The School evaluates quality and quantity of teaching effort based on the terms of the faculty member's appointment. A documented record of effective teaching is required of all faculty members and is composed of student and peer evaluations of classroom and clinical teaching. Each faculty member is expected to obtain Category M or P Graduate Faculty status.

## b. Scholarly Activities

### i. Publications

Peer reviewed journal articles based on original research have primary importance as evidence of research accomplishment. In some fields within the School, peer reviewed book monographs also carry primary importance as evidence of research accomplishment. Book chapters are generally considered lower priority but their evaluation depends on the extent to which they are subject to peer review, based on original research, and placed in collections judged as of overall high quality and likely to have an impact on the field. Publications that are not peer-reviewed including book chapters, proceedings, and other written works are generally considered lower priority than peer-reviewed scientific articles for probationary faculty. Textbooks, edited volumes, and other materials that are intended primarily to be tools for instruction are judged as research output to the extent that they present new ideas or constitute conceptual or empirical innovation.

**For promotion to Associate Professor with Tenure, a faculty member is expected to have:**

- Published a thematically focused body of research/scholarship work in high quality peer reviewed journals that contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise shows evidence of influence on the work of others.
- Published in peer-reviewed journals of high quality, that is, journals that are major to the faculty members' core discipline or its leading specialty journals. All publications contribute to the candidate's body of work; however, primary authorship of original research articles in high quality peer-reviewed journals is emphasized as the highest priority. Faculty members should have manuscripts of this type demonstrating their own independent work. Second authorship of papers behind a graduate student is considered to be "first co-author" provided that the faculty member's percent contribution supports this assessment.

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

The School evaluates both quality and quantity of scholarly activity in the context of the terms of the faculty member's appointment. For faculty with varying percent distribution of effort for teaching, research, and extension, the expectation for publications will be adjusted proportionately. For research, the School distinguishes scholarly activity at OSU, where the major intellectual investment occurred after the date of appointment.

The School recognizes the scholarship of teaching. A faculty member may elect to pursue excellence in the scholarship of teaching as part of his/her area of scholarly emphasis. Recognition as a teaching scholar will require accomplishments in teaching and pedagogy well beyond those expected of most other faculty members. Compelling evidence should be provided that the work is authoritative, and has had a major influence on the teaching of the faculty member's field. Outstanding activities regarding the scholarship of teaching with subsequent publication of manuscripts related to development, implementation and outcome assessment of innovative instructional technologies and teaching methods/materials in peer-reviewed education journals will be recognized as valued contributions. Accomplishments in the scholarship of teaching can be an important consideration in decisions on merit salary increases and on tenure and promotion for faculty who choose to emphasize this area. Development and maintenance of a teaching portfolio may be appropriate for faculty with a focus on education and teaching.

#### ii. Research Focus

**For promotion to Associate Professor with Tenure, a faculty member is expected to have:**

- Developed a focused research program that is nationally recognized by peers and demonstrates a consistent effort to advance a given field or discipline, usually through a continuous and connected series of studies. The following attributes of the candidate's body of published work are considered:



- Original theory-based or empirical research is stressed with publications reviewing previous studies generally seen as less desirable.
- Quality of the work as measured by the impact on the research field.
- Rigor of the peer review process and degree of dissemination of publications. Journal publications and monographs are weighted more heavily than conference proceedings and published research more than unpublished research.
- Demonstrated effort to obtain extra- and intramural funding to sustain research program funding. Competitive peer-reviewed extramural awards are weighted most heavily. The candidate should make regular attempts to obtain extra- and intramural funding as a principal investigator. The expectation for number of grants submitted is proportional to the distribution of effort toward research, as established in the faculty member's letter of offer and/or modified by the Director in an annual review letter. Applications for competitive funds, corporate monies, or private sponsorship are all appropriate. Grants should be in the area of research focus of the candidate, of high quality, and involve research with the potential to advance the field or discipline. Success in grantsmanship is considered favorably in the promotion and tenure process and is expected for faculty members with research-intensive appointments. The record of publications should demonstrate successful completion of these funded projects. Collaborative research within the School and other units, and interdisciplinary research, in which the candidate provides unique expertise to a research team, is encouraged. The School recognizes the importance of co-investigators on grant submissions. The candidate's intellectual contributions to collaborative work must be clearly, fairly, and accurately described to permit assessment of the faculty member's contribution.

### c. Service

**For promotion to Associate Professor with Tenure, a faculty member is expected to have:**

- Made substantive contributions to the governance of the School in a manner that facilitates advancement of the School.
- Demonstrated the potential for meaningful contributions to the School, College, University, and profession.
- The School evaluates the quality and quantity of effort in administrative service in the context of the faculty member's overall distribution of effort. Membership in a committee at the School, College or University level is expected. Heavy service commitments in School administration or areas

outside of the School and the University are inappropriate for probationary tenure-track faculty and are strongly discouraged.

#### **d. Extension Outreach**

**For promotion to Associate Professor with Tenure, a faculty member with an extension appointment is expected to have:**

- Demonstrated outreach education effectiveness through the development and delivery of a quality outreach education program.
- An understanding of the education needs of outreach clientele.
- A contemporary command of the subject matter and the ability to glean from the subject matter what is useful for identifying and resolving problems.
- The ability to communicate effectively with outreach clientele, both orally and in writing.
- The ability to develop effective teaching materials and to respond to the "teachable moment" with appropriate educational activities.
- The ability to generate demand by outreach clientele and establish a reputation with practitioners as a mediator of knowledge.
- For probationary faculty, the outreach program should be built up over time. For example, early in the development of an outreach education program, problem identification and development of educational materials would be more important than the number of outreach students taught. Nonetheless, it is expected that accomplishments with respect to each criterion will be evident over the course of several years.
- For probationary faculty, the outreach program should reflect an impact on extension-outreach issues at local or larger regional scales with evidence of emerging national impact.

## **2. Promotion to Rank of Professor**

In accordance with Faculty Rule [3335-6-02](#)(C), *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.*

Promotion to Professor in the School takes the pursuit of scholarly excellence as our core value. The School also recognizes that a career may consist of various phases in which a concentration on scholarly activity, teaching, or administrative/professional service creates a composite professional life. Promotion to Professor typically requires excellence in scholarship. Where a candidate has made truly extraordinary contributions in the areas of teaching or service, that record may warrant promotion in combination with a less extensive, though excellent record of continued productivity in scholarship.

Excellence in scholarship means attainment of measurable national or international recognition based on an appropriate amount and rate of high quality published research

and/or other relevant creative endeavors. A candidate for Professor will have achieved national distinction as a scholar and should have an emerging international reputation.

Excellence in teaching means the provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. It can be measured by the attainment of national or international recognition, as evidenced by pedagogical publications, awards, honors, and/or critical student outcomes.

Excellence in service means the provision of a high level of professional expertise and experience to one or more publics – including the university, the Columbus community, the State of Ohio, the nation, and professional organizations. External hires at the Associate or Professor level with tenure will demonstrate the same accomplishments in scholarship, teaching and service as persons promoted within the university.

For faculty with an extension appointment, excellence in outreach education means effectively meeting the demands of outreach clientele and establishing a reputation with practitioners as a mediator of knowledge.

For all, the substantial probability that a high rate of quality scholarship and/or excellence in teaching and service will continue needs to be established.

The specific criteria in teaching, research, extension outreach, and administrative service for promotion to Professor are different than those for promotion to Associate Professor with Tenure. See Faculty Rule [3335-6-02\(C\) and \(D\)](#). The University recognizes that the "promotion standards should also reflect the reality that (a) not all faculty members have the same distribution of assignments (b) not all faculty members will be able to contribute excellence equally in all evaluation dimensions; and (c) there is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively. Promotion to professor should be awarded not only to those faculty members who have demonstrated impact in their scholarship, but to those who have made visible and demonstrably outstanding contribution to the teaching and service missions of The Ohio State University" (OAA [Policies and Procedures Handbook](#), section 2.6.1.4).

For promotion to Professor, a faculty member is expected to be a role model for junior faculty, for students, resident/graduate students and for members of the profession in general. Promotion to Professor recognizes a record of sustained distinguished accomplishments, and is not based on seniority alone. The dossier must document that, in accordance with his/her job description, the candidate has developed an established academic program of national or international recognition with a sustained record of scholarly accomplishment in research, teaching, extension outreach, and/or administrative service. The requirements for promotion to Professor will vary depending on the candidate's position description, distribution of effort, and the needs of the

School. The School Director will help Associate Professors assess their strengths and together they will jointly determine how and where the faculty member's talents can be best employed in order to support the overall mission of the School and College. The job description may encompass aspects of more than one of the following areas of focus, and may not require that all criteria from any one focus area be met.

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

#### **a. Teaching**

**For promotion to Professor, a faculty member is expected to have exceeded the teaching accomplishments specified for probationary faculty and accomplished some or all of the following:**

- Recognized nationally or internationally as an authority on teaching in their field.
- Impact Indicators:
  - Contributions to education at local, regional, national and international events known for their high quality in the fields that comprise the School.
  - Invitations to teach in other academic programs outside the School.
  - Provided an active research program conducive to the academic development of graduate students and junior faculty. Successful mentoring of young scholars is important to support the mission of the School and is expected for promotion to Professor.
- Impact Indicators:
  - Contributed to the training of graduate students whose work has had impact and made a difference to the profession.
  - Have mentored other faculty members, contributing to their academic productivity and career advancement.
  - Actively engaged in the teaching curriculum.
- Impact Indicators:
  - Developed new courses and served as a Team Leader in one or more core courses, providing leadership that advanced the quality of the course and the SENR curriculum.
  - Provided excellent teaching as a role model for students and in preparing students for their own future teaching.
  - Developed unique innovative teaching tools, templates for course materials such as syllabi, illustrations, videos and demonstrations that clarify material and engage students in active learning.
  - Adopted e-learning and digital media experiences that engage students and stimulate deeper learning.
  - Contributed to and participated in courses on teaching.
  - Won or were nominated for teaching awards.

- A documented record of effective didactic teaching composed of evaluations of classroom teaching. These evaluations are in addition to those obtained during the probationary period.
- Compiled a complete teaching portfolio that demonstrates the depth and breadth of teaching materials developed by the faculty member, as well as descriptions of innovative teaching techniques.
- Served on teaching/curriculum committees in the School, College, or University.
- Wrote an authoritative widely accepted textbook(s), book chapters in such texts and/or published peer-reviewed papers that contribute to the scholarship of teaching.

## b. Scholarly Activities

### i. Publications

Peer reviewed journal articles based on original research have primary importance as evidence of research accomplishment. In some fields within the School, peer reviewed book monographs also carry primary importance as evidence of research accomplishment. Book chapters are generally considered lower priority but their evaluation depends on the extent to which they are subject to peer review, based on original research, and placed in collections judged as of overall high quality and likely to have an impact on the field. Textbooks, edited volumes, and other materials that are intended primarily to be tools for instruction are judged as research output to the extent that they present new ideas or constitute conceptual or empirical innovation.

**For promotion to Professor, a faculty member is expected to have accomplished some or all of the following:**

- Demonstrated scholarly activity in a connected series of first author, first co-author, or lead-author publications reflecting a cohesive approach to related questions relevant to the investigator's research focus or specialty area. The dossier should demonstrate that the faculty member's leadership is the energizing or motivating force behind the body of work.
- Unequivocal evidence of sustained, focused, high quality scholarly activity in the form of publications in peer-reviewed scientific journals.
- First, first co-author, or senior author publications in peer-reviewed journals that are high quality and well accepted in the fields represented within the School. Publications in high impact peer-reviewed journals, as recognized within specialty or discipline areas, are encouraged.

- For promotion to Professor, a faculty member may possibly choose to author or edit an authoritative textbook (distributed nationally and/or internationally) in the candidate's area of expertise. The candidate who chooses to author an authoritative text will also be expected to produce some first, first co-author, or senior author peer-reviewed manuscripts.
- Served as an author on collaborative publications (second author or greater) in highly regarded peer-reviewed journals.
- Other scholarly publications such as textbook chapters and proceedings are of secondary importance and should not be the scholarly focus of the candidate.

The School evaluates both quality and quantity of scholarly activity in the context of the terms of the faculty member's appointment. For faculty with varying percent distribution of effort for teaching, research, and extension, the expectation for publications will be adjusted proportionately.

The School recognizes the scholarship of teaching. A faculty member may elect to pursue excellence in the scholarship of teaching as part of his/her area of scholarly emphasis. Recognition as a teaching scholar will require accomplishments in teaching and pedagogy well beyond those expected of most other faculty members. Compelling evidence should be provided that the work is authoritative, and has had a major influence on the teaching of the faculty member's field. Outstanding activities regarding the scholarship of teaching with subsequent publication of manuscripts related to development, implementation and outcome assessment of innovative instructional technologies and teaching methods/materials in peer-reviewed education journals will be recognized as valued contributions. Accomplishments in the scholarship of teaching can be an important consideration in decisions on merit salary increases and on tenure and promotion for faculty who choose to emphasize this area. Development and maintenance of a teaching portfolio may be appropriate for faculty with a focus on education and teaching.

#### ii. Research Focus

**For promotion to Professor, a faculty member is expected to have accomplished some or all of the following:**

- Established a national or international reputation as an expert in her/his field.
- Demonstrated consistent efforts to obtain intramural or extramural funding in a focused area.

- Obtained extramural and intramural funded grants as a principal investigator. The record of publications should demonstrate successful completion of these funded projects. Both the total body of work and evidence of sustained research activity are desirable.
- Have acted as primary adviser for graduate students who have completed their graduate programs and a record of participation on graduate committees. Faculty should have a record of serving as the graduate school representative at dissertation defense examinations.

### c. Service

**For promotion to Professor, a faculty member is expected to have accomplished some or all of the following:**

- Served in a prominent administrative role in the School, and/or College and university and thereby contributed substantially to the academic mission.
- Have chaired a standing committee(s) of the School, College, or University.
- Demonstrated leadership in service roles, both internal and external to the University.
- Indicators of impact
  - Service to professional societies as evidenced by committee membership and holding elected or appointed office.
  - Service on local, regional, national, or international advisory or governing boards related to the faculty member's professional expertise.
  - Service as a consultant to local, regional, national, or international organizations and agencies.
  - Other significant public service related to professional expertise.

### d. Extension Outreach

**For promotion to Professor a faculty member with an extension appointment is expected to have:**

- Evidence of leadership in outreach education as demonstrated by the development and delivery of a high quality, focused outreach education program.
- The ability to effectively meet the education needs of outreach clientele.
- A strong command of the subject matter and the ability to identify and resolve problems.
- The development of effective teaching materials and appropriate educational activities.
- The ability to generate demand by outreach clientele and a strong reputation with practitioners as a mediator of knowledge.
- Evidence of the development of an effective outreach program that has been consistently built up over time.
- Demonstrated impact on extension-outreach issues at large-regional or national scales.

### 3. Specific Criteria

Section VI.A.2. contains a comprehensive listing and description of criteria to be used in documenting teaching, research and service performance. These criteria are supplemented by those in the College Guidelines.

### 4. Regional Campus Faculty

Expectations for regional campus faculty differ somewhat from those for faculty on the Columbus campus. The primary function of a regional campus is to provide high quality undergraduate instruction and a limited amount of graduate instruction, and to serve the academic needs of its community. Regional campus faculty usually have heavier teaching loads than do Columbus and Wooster faculty. They also have limited access to research resources, including laboratories, graduate students, and in-house funding. Therefore, expectations for research and scholarly production are different for regional campus faculty than they are for Columbus and Wooster faculty. The School expects regional campus faculty to establish records of research and scholarly publication equal in quality to that expected of Columbus and Wooster faculty, but whose quantity will likely be lower.

### 5. Professional Practice Faculty

#### a. Promotion to the rank of Associate Professor of Professional Practice in Environment and Natural Resources

Promotion to Associate Professor of Professional Practice in the School requires excellence in both teaching and service to the School, professionals, and clientele. Criteria for promotion to Associate Professor of Professional Practice will be consistent with those for Tenure Track faculty, as detailed in Section VII, taking into consideration the specific components of the appointment.

#### b. Promotion to the rank of Professor of Professional Practice in Environment and Natural Resources

Promotion to Professor in the School takes the pursuit of excellence as our core value. Criteria for promotion to Professor of Professional Practice will be consistent with those for Tenure Track faculty, as detailed in Section VII, taking into consideration the specific components of the appointment.

### 6. Research Faculty

#### a. Promotion to Research Associate Professor.

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



**b. Promotion to Research Professor.**

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

**B. Procedures**

**1. General**

The School's procedures for promotion and tenure will be consistent with those set forth in Faculty Rule [3335-6-04](#). Following are pertinent quotations from Sections A and B of this rule:

*...the office of academic affairs shall develop and promulgate procedural guidelines for promotion and tenure reviews to supplement chapter 3335-6 of the Administrative Code. These guidelines shall include a dossier outline to be used for the documentation of accomplishments by all candidates to be reviewed for promotion and tenure and by all probationary faculty for annual reviews. The guidelines shall also include general information about the review process at the college and university level, information about any legal considerations affecting promotion and tenure evaluations, examples of criteria by which candidates for promotion and tenure are evaluated, and other information intended to assist academic units in carrying out reviews.*

*All candidates for promotion and tenure are reviewed by the eligible faculty and by the chair of their tenure-initiating unit. Candidates will also be reviewed at the college and university levels. The tenure-initiating unit chair is responsible for informing the candidate in writing of the provost's final decision (if negative) or recommendation to the board of trustees (if positive).*

*The review for tenure during the final year of a probationary period is mandatory and must take place.*

*A faculty member may ask to be considered for nonmandatory promotion and tenure review or for promotion review at any time; however, the tenure initiating unit promotion and tenure committee may decline to put forth a faculty member for formal non-mandatory promotion and tenure review or promotion review if the candidate's accomplishments are judged not to warrant such review. The promotion and tenure committee may not deny a tenured faculty member a formal review for promotion more than one year.*

*Only the candidate may stop any review for promotion and tenure once external letters of evaluation have been sought. The candidate may withdraw from review at any stage of the process by so informing the tenure-initiating unit chair in writing. If the review process has moved beyond the tenure-initiating unit, the tenure-initiating unit chair shall*

*inform the dean or the executive vice president and provost, as relevant, of the candidate's withdrawal. Withdrawal from the mandatory tenure review during the final probationary years means that tenure will not be granted.*

## **2. Probationary Reviews**

### **a. General**

Faculty Rule [3335-6-03](#) defines the basis for probationary service, duration of appointments for untenured faculty, and the review protocol for untenured faculty.

### **b. Sixth Year Review**

In accordance with Faculty Rule [3335-6-03](#)B(1), *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.*

### **c. Deadlines for requesting review**

By the end of January of each year the Director will notify all faculty eligible for promotion or promotion with tenure within the School regarding the deadlines for review of dossiers. Faculty wishing to be considered for promotion or non-mandatory promotion with tenure shall forward a letter to the Director requesting consideration for promotion or non-mandatory promotion with tenure within 30 calendar days of notification.

## **3. Specific Responsibilities of Various Parties**

### **a. The Candidate**

The candidate shall have primary responsibility for preparing, according to OAA guidelines, a dossier documenting his or her accomplishments within the strict timeline established. The candidate must confirm that the dossier has been prepared according to current guidelines by signing and dating the OAA approved Tenure/Promotion Dossier checklist. In the case of foreign nationals, current residency status must also be properly noted on the Record of Review form. The candidate is responsible for maintaining his/her documentation of SEI scores, peer review of teaching reports that come to him/her, as well as any other documentation relevant to teaching, extension, research, service or other faculty member duties.

The candidate must submit a copy of the APT document under which he/she wishes to be reviewed. Candidates may submit the School's current APT document; or, alternatively, they may elect to be reviewed under either (a)

the APT document that was in effect on their start date, or (b) the APT document that was in effect on the date of their last promotion, whichever of these two latter documents is the more recent. However, the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. The APT document must be submitted when the dossier is submitted to the School.

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

**b. Promotion and Tenure Committee**

Elect a chair who functions as Chair of both the full Committee of the Eligible Faculty and the P & T Committee.

Elect a Procedures Oversight designee, who shall assure that reviews are fair, complete, and without bias.

Conduct a thorough evaluation of each candidate for promotion or promotion with tenure.

Present the case of each candidate, with strengths and weaknesses so noted, to the eligible faculty for review and assessment.

Prepare a report to the School Director for each candidate on behalf of the eligible voting faculty, including the eligible faculty's numerical vote, and an evaluation of the candidate's quality and effectiveness of classroom/extension teaching, quality and significance of research, and quality and effectiveness of service.

In the interest of avoiding costly, premature reviews, the School's P & T Committee will evaluate the strengths of both tenured and non-mandatory, non-tenured faculty requests. Nonmandatory promotion to associate professor with tenure may be warranted when the candidate consistently exceeds expectations in all areas of their current appointment particularly in the area in which they have the greatest share of their appointment. Through this internal screening process, each candidate will be notified in writing whether or not to go forward with their request for promotion or non-mandatory promotion with tenure consideration. In accordance with Faculty Rule [3335-6-04\(A\)](#), the promotion and tenure committee may not deny a tenured faculty member a formal review for promotion more than one year.

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 School Director 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 school.

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.

The P&T Committee will provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.

### **c. School Director**

The School Director or his/her designee (e.g. Chair of P & T Committee)...*shall be responsible for gathering internal evidence of the quality and effectiveness of teaching/extension teaching, quality and significance of scholarship, and quality and effectiveness of service from students and peers, as appropriate, within the School.*

Where relevant, the Director will 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 school. See also section VII.C.9 below.

The Director or his or her designee will 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.

The Director will 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.

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

The Director will provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.

The Director will meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.

The Director will inform each candidate in writing after completion of the School review process:

- of the recommendations by the eligible faculty and School Director
- of the availability for review of the written evaluations by the eligible faculty and School Director
- of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the School Director, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the Director, indicating whether or not he or she expects to submit comments.

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

To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the School Director recommends against promotion. A negative recommendation by the School Director 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 School Director's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

The School Director or Chair of the P & T Committee, if so designated by the Director...*shall also be responsible for obtaining letters from external evaluators and from other units at this university in which the candidate has appointment or substantial involvement, whether compensated or not.* The list of external evaluators will include names suggested by the Promotion and Tenure Committee, the Director, and the candidate.

The P & T Committee Chair shall appoint one or more faculty to be responsible for verifying the accuracy of each candidate's citations and other aspects of the candidate's dossier. The P & T Committee Chair may invite a candidate, or the candidate may request to appear, to present his/her case to the Committee and to clarify any aspects of the case or dossier.

#### **d. Procedures Oversight Designee**

The P & T Committee will elect a committee member as Procedures Oversight Designee, with responsibility for assuring that reviews are procedurally correct, fair, and free of bias for all faculty members. The Designee will also be responsible for completing the TIU checklist for each candidate, as stipulated in the OAA [Policies and Procedures Handbook](#).

#### **e. Eligible Faculty**

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. Voting and Reporting to Director**

The School's eligible faculty will be convened by the Director to hear the P & T Committee's assessment (strengths and weaknesses) of each case. The presence of two-thirds of the faculty eligible to vote shall constitute a quorum. After open faculty discussion, a secret ballot vote of the faculty will be taken for each case. Only eligible faculty members present at the meeting or participating in the meeting by teleconference may vote; absentee and proxy ballots will not be accepted. The P & T Committee under the leadership of the Committee Chair shall prepare the official letter of recommendation to the Director on behalf of the eligible voting faculty. The actual vote of the faculty shall be recorded in this letter along with the strengths and weaknesses of each case. Affirmative votes from 67 percent of the faculty present and eligible to vote shall constitute a positive recommendation, and this requirement shall be reiterated in the letter to the Director. All eligible faculty members present must cast a ballot, including abstentions. Abstentions are recorded but do not count in determining the proportion of positive votes.

#### **5. Regional Campus Faculty**

Promotion and Tenure and Promotion of regional campus faculty involve two concurrent and complementary procedures. One shall be carried out by the regional campus according to its procedures and standards, and one shall be carried out by the School according to its procedures and standards as provided in Section VII. of this document. Once the regional campus review is completed, the regional campus Dean shall forward a written report of the review and a recommendation to the School Director for inclusion in the candidate's School dossier. From this point on, the review follows the procedures described for the Columbus campus faculty.

#### **6. Selection of External Evaluators**

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 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 School Director 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 is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will only solicit evaluations from professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the School cannot control who agrees to write and or the usefulness of the letters received, at least twice as many letters are sought as 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.

#### **a. Solicitation of Letters of Evaluation**

The Director shall be responsible for obtaining letters from external evaluators and from other units at this university in which the candidate has appointment or substantial professional involvement, whether compensated or not. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the Director or his/her designee may not be included in the dossier. Under no circumstances shall the candidate solicit letters of evaluation or have contact of any type with prospective or actual external evaluators regarding the review process. All procedures for soliciting external letters of evaluation shall follow guidelines in the OAA [Policies and Procedures Handbook](#).

#### **b. Material Provided to Evaluators**

External evaluators will normally be sent a letter from the Director requesting the evaluation, a copy of the candidate's core dossier, and a sample of reprints or other evidence of the candidate's achievements. If the candidate's dossier is

not ready by the prescribed date, each external evaluator will be provided, in addition to the Director's letter requesting an evaluation, a copy of the candidate's dossier, a summary (1-3 pages) of the candidate's achievements by program area (e.g. teaching, extension teaching, research and service) or academic thrust areas, and sample reprints or other evidence of the candidate's achievements.

#### **7. Timetable for P & T Process**

The School shall set its deadline for receipt of the candidate's dossier and supporting materials so that the first draft of the dossier is due mid-June with the complete dossier due in mid-July. Solicitations for outside letters of evaluation shall normally be made at least 90 days prior to the College deadline.

#### **8. Granting of Tenure and Rank to Administrators**

Administrators brought into the School via a search process will have their rank and tenure approved by the faculty prior to the administrative appointment. Administrators brought in to the College or University system, whose discipline requires or best fits the School as the administrator's tenuring unit, shall have their tenure and rank approved by the faculty and Director.

#### **9. Foreign Nationals Appointed to Tenure-Track Positions**

The University does not grant tenure to a foreign national lacking permanent residency status. Mandatory reviews of probationary, non-resident faculty may proceed in the scheduled year but tenure and promotion, if recommended, will not be awarded until permanent residency is acquired. In accordance with the OAA Handbook (II. Faculty Appointments, Appointment of Foreign Nationals, Revised 08/04/09):

- These faculty will be converted to visiting faculty status at the beginning of the academic year following the review year, and will be subject to all policies applicable to visiting positions during this period, including annual renewal of the appointment and possible termination of the appointment at the end of each year.
- These faculty may remain in visiting faculty-BE (with benefits) status for no more than three years. If permanent residency status has not been obtained at the end of three years, their employment with The Ohio State University will be terminated.
- When permanent residency status is obtained subsequent to the date on which promotion and tenure would have been effective had the faculty member held such status, *the actual effective date of promotion and tenure and any accompanying salary increase will be determined by the Board of Trustees action. Under no circumstances will the effective date be retroactive.*

#### **10. Professional Practice Faculty**

The procedures for promotion reviews for Professional Practice faculty will be consistent with those applied to probationary tenure-track faculty at the TIU level. Promotions of Professional Practice faculty will be subject to approval by the Dean of the College of Food, Agricultural and Environmental Sciences and



the Executive Vice President and Provost.

### **11. Research Faculty**

The procedures for promotion reviews of research faculty will be consistent with those applied to probationary tenure-track faculty at the TIU level. Promotions of research faculty will be subject to approval by the Dean of the College of Food, Agricultural and Environmental Sciences and the Executive Vice President and Provost.

### **12. Associated Faculty**

Associated faculty are not eligible for tenure but can be promoted in rank following the same policy and procedure as tenure-track faculty except that a negative recommendation at any administrative level is final and the case does not go forward.

#### **a. Adjunct Faculty**

Adjunct faculty are not eligible for tenure but can be promoted in rank following the same policy and procedure as tenure track faculty except that a negative recommendation at any administrative level is final and the case does not go forward.

#### **b. Visiting Faculty**

Visiting faculty are not eligible for promotion or tenure.

#### **c. Lecturer Faculty**

Faculty holding the title of Lecturer may be promoted to the rank of Senior Lecturer. They are not eligible for tenure. .

#### **d. Part-Time Faculty (less than 50% appointment)**

The promotion policy for part-time faculty (less than 50%) will follow the same process as for associated faculty, i.e., faculty are not eligible for tenure but can be promoted in rank.

### **13. Non-Compensated (No-Salary) Faculty**

The tenure and/or promotion process for non-compensated (no-salary) faculty is initiated within the faculty member's TIU. The approved rank carries over into the School. However, the School may have input to the TIU regarding the faculty member's contributions and performance as a courtesy, no-salary faculty member of the School if requested. Any recommendation to the TIU from the School Director and School P & T Oversight Committee will accompany the recommendation from the faculty member's TIU to the appropriate dean.

### **14. Faculty with Split Appointments**

Tenure-track, research or professional practice faculty with a portion of their appointment in the School and another TIU will follow the procedures of his or her TIU.

If the faculty member's TIU is in the School, but with a portion of his/her salary budgeted in another unit, evaluation input from the other unit(s) shall be required as part of the School's procedure for P & T evaluation. If the faculty member's TIU is outside the School, the School will provide the same evaluation input to the TIU as it would for no-salary faculty.

## C. Documentation

### 1. General

It is incumbent upon the candidate to document his/her performance and achievements relative to these and/or other accepted measures of excellence and to retain records of such documentation. This documentation may vary according to the academic discipline and the faculty member's assigned responsibilities within the School's mission. While the OAA core dossier outline serves as the basic standard for documentation, the School is not limited to assessing only the items listed in this outline. It may also weigh forms of documentation differently as appropriate to its mission and to the responsibilities of the candidate. Following are possible elements and forms of documentation specific to teaching (including extension teaching), research and service.

### 2. Criteria for Evaluation of Teaching

Effective teaching is an essential responsibility of all faculty members in the School. The quality of teaching is an explicit factor in the evaluation of faculty performance promotion. Teaching embraces two distinct functions: instruction in regular, for-credit classes, on and off campus, and outreach education including extension. Specific criteria are as follows:

#### a. Resident Instruction

Resident instruction includes undergraduate and graduate instruction in formal courses, seminars, and individual studies. Directing student research is both a research and teaching activity. Advising students, including academic and career counseling (graduate and undergraduate), is considered an important and expected component of teaching that must be adequately weighed in the evaluation of teaching.

#### i. Evaluating Resident Instruction

The quantitative components of one's teaching assignment (e.g. number of courses, advisees and student committees, extracurricular assignments and student organization advisorships, etc.) will be taken into account in the evaluation of teaching. The qualitative aspects of a faculty member's teaching will be evaluated through a combination of student input and external evaluation (see *Documenting Evaluation of Resident Instruction*). To judge effective resident instruction, faculty can be evaluated on the

content of their courses, and their methods and presentation style in all forms of instruction. This could include the following:

- Command of subject including incorporation of recent developments into resident instruction.
- Ability to organize and present class material with logic, conviction, and enthusiasm.
- Creativity in course development, methods of presentation, and incorporation of new materials and ideas.
- Capacity to awaken awareness in students of the relationship between subjects studied and other fields of knowledge.
- Quality of student-professor in-class dialogue via questions, response and discussion methods.
- Requiring a level of expectation and work performance from students commensurate with the course level and course description.

## ii. Documenting Evaluation of Resident Instruction

**Student Evaluation of Teaching:** Use of the Student Evaluation of Instruction (eSEI) is required in every residential instruction course offered in SENR. See Section X.A for further detail.

**Faculty Peer Evaluations:** Summative peer evaluations of course content (e.g., syllabus review) and/or teaching process (e.g., observation-based evaluations) are essential. Guidance regarding procedures and expectations for peer evaluation of teaching are located in Section X.B.

**Additional Requirements for Promotion with Tenure:** In addition to the Student Evaluation of Instruction (SEI) and the peer evaluations, SENR requires two additional evaluations for promotion to associate with tenure. The two additional forms of evaluation should be chosen following some self-reflection as to where the instructor wants to improve, and what method of evaluation may be most useful. A faculty member who submits a dossier for promotion prior to the fourth probationary year can negotiate with the Director for fewer teaching evaluations.

Assistant Professors are further *encouraged* to supplement SEI feedback annually for *each* course that has an instructional component. Such evaluations are critical for dossier preparation; specifically, to demonstrate the effectiveness of one's teaching, evaluate the appropriateness of course content, and document continuous quality improvement.

See the descriptions below for the allowable forms of evaluation to both inform teaching statements in one's dossier, and to meet the additional two evaluations required by SENR for promotion to associate with tenure. These forms of evaluation cannot replace *SEIs* or the two mandatory *Peer Evaluations* required by OAA for promotion:

- **[University Institute for Teaching and Learning \(UITL\) Evaluations.](#)** UITL consultants provide services designed to help faculty evaluate and document effective teaching. These evaluations are typically limited to classroom observation and facilitated student feedback directed to the faculty member, but not to the School Director. UITL's *Student Midterm Interviews* and *Classroom Observations* are acceptable forms of supplemental evaluation for dossier preparation.
- **Student Input.** Faculty may supplement the required SEI and peer evaluations with evaluative instruments of their own design. UITL consultants can also provide assistance in developing surveys to facilitate student input beyond the SEIs. Faculty can also include a summary of open-ended comments received through supplemental evaluations. This summary must be compiled by someone other than the faculty being reviewed, and must be based on all of the comments received.
- **Course Design Institute (CDI) Course Revision** – The Course Design Institutes at UITL also provide faculty with support for course re-design. Documented CDI course revisions are acceptable forms of supplementary evaluation for dossier preparation.
- **Peer Coaching** - Faculty may use a documented peer coaching process to enhance selected pedagogical strategies. The process should be formative with outcomes chosen to strengthen specific skills or course delivery. Such a process involves identifying desired outcomes, and developing and documenting a strategy and/or methodology to achieve the outcome. The coach then provides feedback to the effectiveness of the teaching-learning process.

### iii. Documenting Teaching Effectiveness in Dossiers

There are other sources of evidence that can be considered as a means of evaluating instruction performance and productivity beyond the requirements for promotion outlined above. Some of these are explicitly documented in the dossier (e.g., completion of teaching development programs), while others may just be summarized in the narratives. These may include, but are not limited to the following:

- Recognition or awards for distinguished teaching.

- Peer-reviewed publications designed primarily to communicate with other educators, e.g. journal articles on curricula, course innovations, recruiting, pedagogy, and student placement.
- Textbooks and chapters in textbooks or peer-evaluated books of readings.
- Updating instructional competence through workshops, study leaves, courses, interaction with practitioners, and self-study.
- Completion of teaching development programs.
- Leadership in development of courses and curricula.

The feedback received from the various forms of evaluation should be summarized in the dossier narratives to demonstrate how the information was used to improve the quality of instruction. This is where faculty should summarize *all* of the means of receiving feedback on instruction. Specifically, through the statements on teaching and curriculum development in the dossier, the instructor should identify their contributions to teaching and curriculum in the unit, document how they have used regular feedback to reflect on the strengths and weaknesses of their teaching, and ultimately indicate how one's approach to teaching content and process has changed over time in response to the evaluations conducted.

#### **b. Extension/Outreach Education**

Extension/outreach education refers to planned educational activities by School faculty that are directed primarily toward students/clientele outside the campus classroom. These are persons, other than professional peers, who are not enrolled in courses for academic credit, and include the general public. Extension/outreach education encompasses, but is not limited to, educational activities conducted in conjunction with OSU Extension. Faculty with their primary appointment in OSU Extension are expected to demonstrate contributions through generation of new knowledge, synthesis of existing knowledge for application, creative analysis, published accounts of applied research and technology, and published peer-reviewed articles. In addition, they are expected to produce materials and programs that digest, synthesize, and reduce to practical application established scientific principles, research, and databases of their own or others for utilization by natural resources clientele.

##### **i. Judging Extension/Outreach Education**

Effective extension/outreach education depends upon:

- An understanding of the needs for knowledge by outreach students and clientele.
- Contemporary command of subject matter and the ability to glean from the subject matter what is useful for identifying and resolving problems.

- Creativity in subject matter development, methods of presentation, and the incorporation of new ideas.
- The ability to communicate effectively with outreach students, both orally and in writing.
- The development of effective teaching programs and materials.
- The ability to anticipate “teachable moments” regarding the needs of outreach students and to respond with appropriate educational activities.
- Positive evaluation from clientele and peers.

#### ii. Documenting and Evaluating Extension/Outreach Education

Documentation of performance in these aforementioned categories includes the following:

- Development and delivery of outreach education programs (lessons, courses, and curricula).
  - The number of outreach lessons or programs developed and the depth and breadth of subject matter included.
  - The number and scope of courses of study (series of multiple lessons) developed.
  - Participation in the development of a curriculum of study (series of courses).
  - Involvement in program planning and development at the county, multi-county, state, regional, national and international levels, including the development of proposals for program funding and success thereof.
  - Formal evaluations of extension meetings and programs and other outreach education activities.
  - Letters of evaluation solicited by a third party (e.g. SENR Director).
- Development of teaching materials for outreach education.
  - The number and scope of written teaching plans or programs, discussion guides, and related educational materials for use in teaching and for adoption by other outreach educators such as field extension faculty, industrial trainers, and other natural resource managers.
  - The number and scope of visual, audio, and computerized (software packages) teaching aids, and evidence of use by other educators.
- Publications authored, co-authored, or edited.
  - Peer-evaluated publications designed primarily to communicate with other educators or to serve as basic references, e.g., extension bulletins, journal articles, books and book chapters, proceedings, etc.

- Popular and technical articles designed primarily to communicate timely subject matter directly to outreach students and the general public, e.g., articles in citable news magazines, newspapers, trade journals, newsletters, etc.
- Fact sheets and other printed or electronic means of disseminating small but significant pieces of information that have been evaluated and approved by peers.
- Web pages, postings to on-line bulletin boards or other services that have been evaluated and approved by peers.
- Professional and society presentations, including volunteered and invited papers/posters, presented before professional societies on the subject of Extension or outreach education.
- Teaching
  - The number, subject matter scope and depth, and location of outreach education classes taught, and the number of students involved in each.
  - Peer review of outreach teaching.
  - Written assessment by other School faculty members who have collaborated in team teaching.
  - Written assessment by Extension field faculty, the Extension Coordinator, Director, or designated representative on at least a biennial basis with input from Extension administrators and District supervisors where appropriate.
  - Written evaluation by individuals who are in target audiences for presentations and/or other educational products.
- Mediator of knowledge between the University and the public.
  - Utilization of print, broadcast, and electronic media for knowledge dissemination to outreach students and the public at large.
  - Consultation with existing and potential users of outreach education, including farmers, industry and agribusiness operatives, leaders in agricultural and community organizations, and other educators, regarding program recognition and the identification of on-going and emerging needs and opportunities for outreach education on subjects within the faculty member's areas of expertise.
- Impact of programs upon related practices and other activities.
- Recognition or awards for distinguished extension education.
- Election to positions of leadership in organizations concerned with outreach education and participation in professional organizations associated with teaching and extension education.
- Unsolicited letters from outreach students, including extension clientele, and others involved in outreach education.

### 3. Criteria for Evaluation of Research

#### a. Conceptual Overview

Research productivity is the responsibility of each School faculty member regardless of budgetary appointment (OSU-OARDC-OSUE). Research productivity should contribute to and be symbiotic with teaching, extension and service roles and should not be viewed as an entity and obligation isolated from these academic functions. Research productivity takes many forms: theoretical innovation, the development of solutions through basic research, applied research, and empirical techniques, and the creative application of existing concepts, knowledge, databases, and empirical methods to problem solving. Each faculty member, either independently or collaboratively, is expected to develop a focused research program, the focus and scope of which reflects academic competence, professional interests, and School goals (as expressed in the individual's position description and other assignments and as reviewed periodically). Each faculty member should develop a research focus area, i.e., claiming a research niche for which he or she is noted, whether independently or collaboratively. Team and interdisciplinary research efforts are encouraged, but they must be documented as to the contribution to the team or effort. Written accounts of research, particularly those that have been reviewed by peers and/or are judged to be substantive and influential as through impacting stakeholder groups, policy, or other measures of impact, are the primary indicators of research and scholarly productivity and/or achievement. For promotion and tenure purposes, especially, publication quality and usefulness must be assessed by employing indicators such as the citation indices, reprint requests, letters of evaluation from peers, evidence that research has been adopted by or influenced peers, and users of research results. Other evidence that a faculty member is growing professionally and interacting constructively with students, colleagues, and the profession as a whole must be provided.

#### b. Guidelines for Evaluating Research

##### i. Publications

The following general hierarchy of research oriented publications will be observed:

- Peer reviewed articles, books, and book chapters, monographs, and research bulletins based on original research or contributions/products that are judged by peers to be substantive and influential as through impacting stakeholder groups, policy, or other measures of impact, have primary importance as evidence of research or scholarly productivity and accomplishment.
- Textbooks, edited volumes, software and other electronic packages, and other materials that are intended primarily to be tools for



instruction are judged as research output to the extent that they present new ideas or constitute conceptual or empirical innovation.

- Review articles that require significant investigation on the part of the author and pass a careful peer review.
- Published, invited, and selected papers presented at professional meetings.
- Other peer reviewed publications.
- Citable publications and reports that are not peer reviewed (e.g. proceedings, workshop papers).
- Book reviews written for journals that reflect the author's status as a scholar but may also represent research output.
- Uncitable and unpublished papers and reports if the author(s) demonstrate(s) their quality, usefulness, and impact.

#### ii. Non-published Research Productivity and Recognition

- Product development, patents, software development, data management protocols, and information acquisition protocols, e.g. GIS.
- Invited and volunteered papers/poster presentations before professional societies.
- Awards, professional recognitions.

#### iii. Extramural Funding

Both competitive and noncompetitive extramural funding will serve as criteria for research achievement and productivity. Number of competitive grant applications submitted commensurate with availability of such grants in one's area will be assessed along with an evaluation of the aggressiveness of pursuing funding for program support.

Consideration is also given to the level of personnel support and laboratory facilities provided by all sources of University funding, recognizing that support personnel and laboratory space should provide additional support for seeking extramural funding.

#### iv. Other Scholarly Activities

Among other indicators of the quality of a research program are contributions to interdisciplinary and team projects; impacts on policy and extension programs, consulting assignments (including program reviews of other departments and organizations), technical-professional assistance on projects in developing countries, participation in and/or organization of panels and symposia at professional meetings, public lectures, enrollment in courses, professional leaves, and other kinds of self-improvement as well as mentoring of junior faculty. Faculty members are expected to provide evidence of these activities.

#### v. Research Activities with Students

Much of the research completed by a faculty member is done in conjunction with graduate and undergraduate students (e.g. honors students). To some extent, students' accomplishments reflect faculty members' teaching efforts. However, the quality of students' work (e.g. dissertation awards, citations of a dissertation, publication of results, etc.), recruitment of graduate students, and demonstrated willingness and ability to supervise undergraduate and graduate student research projects and service on MS and Ph.D. committees also reflect on a faculty member's research program.

#### vi. International Programs-Projects

Contribution to international programs and projects is an important and valued component of the School's scholarly mission, and is expected of all tenured faculty. All untenured faculty are expected to begin to explore options (i.e. short international visits, hosting international guests) for more formal, international activities once tenure is granted. Documenting international program contributions and involvement does not always lend itself to the typical citable elements. Often, international program contributions manifest themselves in the design, establishment, and development of a project; developing and planning operational protocols; establishing liaison protocols with in-country agencies and institutions; putting together a team for project execution; serving on advisory or expert panels; and other kinds of contributions. These contributions may not result in citable products or reports until later, but much time and energy are contributed by faculty members and must be weighed accordingly as scholarly contributions. The faculty member and Director will agree in advance on desired outcomes and will document contributions, such as peer or project agency evaluation of program progress and specific contributions of the faculty member.

### 4. Criteria for Evaluation of Service

#### a. Conceptual Overview

The School of Environment and Natural Resources deems service to programs of the School, College, University and professional organizations as a responsibility of each faculty member. It is recognized that service will vary among faculty members and for a faculty member over time depending, in part, on the specific faculty appointment. However, a faculty member is expected to perform in each of the following service categories and progress in level of service rendered as faculty rank and time in rank increases.

## b. Definition of Service

Service is construed to mean professional/academic work done or duties performed for others at all levels within the University and professional services to government, business, public agencies, and professional associations at local, state, national and international levels. Personal service contributed to civic organizations, churches, charities, community, and other organizations does not fall within the definition of professionally-oriented service used herein, except where solicited or contributed in the role of one's faculty and/or professional status.

## c. Service Categories and Criteria

### i. Administrative Services

- School Services – as program coordinator and leader, member or chair of standing and ad hoc committees or task forces, and supervision of classified and A & P employees.
- College and University Service – serving on faculty governance bodies, search, standing, special and interdisciplinary research committees, task forces, reviewing materials, assisting at the administrative level for international and other programs.

### ii. Student Services

Advising undergraduates, honors students, student clubs, judging teams, or other organizations, College Honors Committee; serving on advisory committees of graduate students, graduate school exam committees, university student committees (e.g. Judicial and Academic Misconduct).

### iii. Professional Services

Serving as officers on editorial boards, committees, and task forces of professional associations; reviewing external manuscripts; regional and national research, teaching and extension committees; state and local task forces, state and local advisory committees; industry advisory committees and industry task forces. Service to clientele organizations (e.g. officer of a professional association, executive secretary of a professional association). Member of board(s) of directors. Consulting assignments. Community service where professional service is rendered, e.g. judging activities, speaking on behalf of the University or profession.

### iv. Peer Responsibilities

Reviewing course outlines, course syllabi, internal manuscripts, and internal and external research proposals; peer review of teaching; peer review panels; regional and national project writing committees; data collection and sample design; assisting students and other faculty with computer, quantitative, and modeling problems; and design of

instruments for teaching evaluation and participation in teaching evaluation.

### 5. Academic Transitions and Idea Development

Every faculty member at times during his/her career must or does “shift academic gears,” developing ideas/conceptual frameworks while pursuing new avenues of research and/or teaching. Such transitions often result in “down time” or lack of citable products or evidence of performance. While there are some indicators of such transitions (e.g. development of proposals, development of a concept paper, organizing a new program), it is incumbent upon the faculty member to present tangible evidence to the Director that such transitions are warranted or being pursued with more than casual thought. While such transitions should be vital components of an academic environment, there also must be accountability for the time, effort, and forfeiture of other pursuits to justify these transitions.

## VIII. APPEALS

### A. General

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

## IX. SEVENTH YEAR REVIEWS

### A. General

In rare instances, the School may seek a seventh year review of a faculty member denied tenure during the sixth year review if substantial additional information regarding the faculty member’s performance arises. Conditions and procedures for conducting such reviews are set forth in Faculty Rule [3335-6-05](#) (B). The School must seek permission to conduct such reviews from the Executive Vice President and Provost through the Dean. *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.* The faculty member’s termination date remains June 30 of the seventh year of service in this situation.

### B. Criteria for Review

A seventh year review will normally only be considered appropriate when a case was judged to be very close to the threshold for a positive decision during the sixth year and additional *major* accomplishments *may* be sufficient to eliminate the concerns that led to the negative decision.

## **X. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING**

### **A. Student Evaluation of Teaching**

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

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

The Director and Associate Director of SENR oversee the School's peer evaluation of teaching process.

Annually the Director 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 Associate Director of SENR serves as an ex officio member of this committee. 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 School. 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. Peer evaluators should be someone who can provide helpful feedback as to the content and/or process of one's teaching. Evaluators from outside the University may be used for a syllabus review. SENR provides guidance on conducting peer evaluations of teaching in the SENR Peer Review of Teaching Guidelines (adopted 2001) for evaluators to use if desired. The evaluator must submit to the School Director, Associate Director and the evaluated faculty a signed report of his or her evaluation(s). Tenured faculty should conduct at least 1 peer evaluation per year (if requested).

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 Director'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 Director is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the University Center for the Advancement of Teaching.

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

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

In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on such issues as the appropriateness of the course design given the goals and level of the course, the quality and effectiveness of the instructional materials and assessment tools, and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer meets with the candidate to give feedback and also submits a written report to the Director and Associate Director, 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.