

# APPOINTMENTS, PROMOTION, AND TENURE CRITERIA AND PROCEDURES FOR THE UNIVERSITY LIBRARIES (2018)

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# **I PREAMBLE**

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

Should those rules and policies change, the Libraries will follow the 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 or on the appointment or reappointment of the Vice Provost and Director of University Libraries (Vice Provost/Director).

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

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01, (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule 3335-6-02, (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) and other standards specific to the Libraries; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

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

## **II LIBRARIES' MISSION**

The University Libraries promotes innovative research and creative expression; advances effective teaching; curates and preserves essential information for future scholarship and learning; and shares knowledge and culture with the citizens of Ohio, the nation, and the world.

## **III DEFINITIONS**

### **A. Eligible Faculty**

#### **1 Tenure-Track Faculty**

For appointment reviews of tenure-track faculty, the Appointment, Promotion and Tenure Committee (AP&T) shall appoint a subcommittee of no fewer than two members to review the candidate's dossier, meet with the candidate, and make a recommendation to the Vice Provost/Director regarding the appropriate rank for the candidate's appointment. For an appointment at senior rank, a 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 Libraries, excluding the Vice Provost/Director, 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 Libraries excluding the Director, the Executive Vice President and Provost, and the President.

## **2 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 scholarship since the last promotion will be expected to withdraw from a promotion review of that candidate.

## **3 Minimum Composition**

In the event that the Libraries does not have at least three eligible faculty members who can undertake a review, the Vice Provost/Director will appoint a faculty member from another department.

## **B Promotion and Tenure Committee**

The Libraries has an Appointment, Promotion and Tenure Committee (AP&T) that assists the eligible faculty in managing the personnel and promotion and tenure issues. The committee consists of twelve members, with a minimum of two professors. The committee's membership is elected; the chair is determined by the committee. The term of service is three years. A faculty member can be re-elected after a period of one year off the committee.

## **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 Vice Provost/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 Eligible Faculty**

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

Absentee ballots and proxy votes are not permitted.

## **1 Appointment**

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

## **2 Reappointment, Promotion and Tenure, and Promotion**

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

# **IV APPOINTMENTS**

## **A Criteria**

The Libraries is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the Libraries. Important considerations include the individual's record to date in librarianship, scholarship and service; the potential for professional growth in each of these areas; and the potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty to the Libraries. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the Libraries. The search is either cancelled or continued, as appropriate to the circumstances.

The required academic preparation for OSUL faculty is: 1) a Master's degree from a program accredited by the American Library Association; or 2) a Master's degree with specialization in archives; or 3) a Master's degree in museum studies; or 4) a comparable graduate degree in one of the above fields from a non-U.S. university, reviewed on a case-by-case basis; or 5) in exceptional cases, when members of the AP&T Committee, as elected representatives of the wider OSUL faculty, are consulted prior to the posting of the position, candidates without one of the above degrees but with a relevant advanced degree may be appointed.

## **1 Tenure-Track Faculty**

**Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but the required academic preparation for OSU Libraries' faculty has not been completed by the candidate at the time of appointment. The Libraries 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 Libraries' eligible faculty, the Vice Provost/Director, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

**Assistant Professor.** Candidates ordinarily will be appointed at the rank of assistant professor. Evidence of potential for high-quality librarianship, scholarship, and service to the Libraries and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible. The granting of prior service credit for work experience, 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. Scholarship produced prior to the date of hire will be considered in promotion and tenure decisions to provide context and illustrate a candidate's broader research arc. Works produced before date of hire will only be fully considered if a candidate seeks service credit. A service credit request for prior work experience must be sought prior to the appointment and requires the approval of the Vice Provost/Director and the Executive Vice President and Provost.

**Associate Professor and Professor.** Appointment at senior rank requires that the individual, at a minimum, meet the Libraries' criteria in librarianship, scholarship, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under extraordinary circumstances. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency. Offers to foreign nationals require prior consultation with the Office of International Education.

## **2 Tenure-track Faculty—Regional Campus**

In the case of a tenure track position on a regional campus, the regional campus Dean and Library Director have primary responsibility for determining the need for a position and the position description, but should consult with and seek agreement with the Vice Provost/Director of University Libraries.

## **3 Associated Faculty**

Associated appointments may be made for up to three years at a time.

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments are never compensated. Adjunct faculty appointments are given to individuals who volunteer considerable uncompensated academic service to the Libraries for which a faculty title is appropriate. Adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

## **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.**

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

## **4 Courtesy Appointments for Faculty**

Occasionally the active academic involvement in the Libraries by a tenure-track faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in the Libraries. Appropriate active involvement includes substantial involvement in the Libraries' work, scholarship, collaboration, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

## **B Procedures**

See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs [Policies and Procedures Handbook](https://oaa.osu.edu/policiesprocedureshandbook.html) (<https://oaa.osu.edu/policiesprocedureshandbook.html>) for information on the following topics:

- Recruitment of tenure-track faculty
- Appointments at senior rank or with prior service credit

- Hiring faculty from other institutions after April 30
- Appointment of foreign nationals
- Letters of offer

## 1 Tenure-track Faculty

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

Searches for tenure track faculty proceed as follows:

The Vice Provost/Director provides approval to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The Vice Provost/Director appoints a search committee including three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other areas within the Libraries.

Prior to any search, members of the search committee must undergo inclusive hiring practices training available through 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:

- Includes an OSUL Human Resources representative who serves as the Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement, in consultation with the hiring manager, for internal posting in the university Job Postings (<https://www.jobsatosu.com/>) through the Office of Human Resources Employment Services ([www.hr.osu.edu/](http://www.hr.osu.edu/)) and external advertising, subject to the Vice Provost/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.
- Assists and advises OSUL HR personnel as necessary in developing and implementing 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 assure that at least one national/international advertisement is placed in a location likely to be read by qualified potential applicants. 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 national professional journal.
- In consultation with OSUL HR and the hiring manager, screens applications and references and presents to the Vice Provost/Director a summary of those applicants (usually three to five) judged

worthy of interview. If the Vice Provost/Director, in consultation with the supervising manager and his/her Assistant/Associate Director (AD) agrees with this judgment, OSUL HR and the search committee chair arrange on-campus interviews. If none of the candidates are judged worthy of interview, the Vice Provost/Director, in consultation with the search committee, determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus interviews with candidates must include opportunities for interaction with OSUL faculty, the search committee, representatives from AP&T, and the Vice Provost/Director or designee. In addition, all candidates make a presentation to the faculty and staff. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the search committee meets to review submitted evaluations, discuss perceptions and preferences, and to determine which candidates are acceptable. A list of the acceptable candidates is submitted to the Vice Provost/Director who, after consultation with the supervising manager, makes a hiring recommendation. The details of the offer, including compensation, are determined by the Vice Provost/Director.

If the offer involves senior rank, the eligible faculty votes on the appropriateness of the proposed rank. If the offer involves prior service credit, the eligible faculty also votes on the appropriateness of such credit. In both instances, a simple majority of the eligible faculty must vote yes or no, and of those votes a simple majority must be positive for the senior rank or prior service credit to be approved.

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

## **2 Tenure-track Faculty—Regional Campus**

The Vice Provost/Director of University Libraries and the regional campus Dean/Director will agree on a single search committee consisting of members of both units. Candidates should, as a minimum, be interviewed by the regional campus Dean/Director, the representatives of the Vice Provost/Director of University Libraries, the search committee, and representatives of both faculties. Candidates will be evaluated on both campuses, with AP&T on the Columbus campus taking primary responsibility for evaluating the candidate's scholarship. A decision to hire requires agreement on the part of the Vice Provost/Director of University Libraries and of the regional campus Dean/Director. Negotiations with a candidate should not begin without such agreement and a letter of offer must be signed by the Vice Provost/Director of University Libraries and the Dean/Director of the regional campus.

## **3 Associated Faculty**

The appointment, review, and reappointment of all compensated associated faculty is decided by the Vice Provost/Director in consultation with the Executive Committee.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in University Libraries. The proposal is considered by AP&T and a recommendation is sent to the Vice Provost/Director for review and appointment decision.

Associated appointments may be made for a period of up to three years and require a formal renewal at the end of the contract period if they are to be continued. Adjunct appointments may be renewed only

when the uncompensated academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years at 100% FTE.

Varieties of Associated Faculty status include:

- Visiting titles (compensated): temporary faculty and persons on leave from other academic institutions:
  - visiting instructor, visiting assistant professor, visiting associate professor, visiting professor
- Adjunct titles (uncompensated): provides significant service to the instructional and/or research program of the unit. These individuals typically hold a staff appointment at Ohio State, though they may be employed outside the university:
  - adjunct instructor, adjunct assistant professor, adjunct associate professor, adjunct professor

#### **4 Courtesy Appointments for Faculty**

Any Libraries faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to the Libraries justifying the appointment is considered by AP&T. If the proposal is recommended by AP&T, the Vice Provost/Director reviews and makes a decision on appointment. The Vice Provost/Director reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for non-renewal to AP&T for a vote. Following a vote, a recommendation is sent to the Vice Provost/Director for review and appointment decision.

## **V ANNUAL REVIEW PROCEDURES**

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

The annual reviews of every faculty member are based on expected performance in librarianship, scholarship, and service as set forth in the Libraries' Policy on Faculty Duties and Responsibilities in the Pattern of Administration; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material must be submitted to the appropriate immediate supervisor by February 1<sup>st</sup> following the year under review, for junior/untentured faculty, and by 1 March for faculty with tenure.

The Vice Provost/Director (per Faculty Rule 3335-3-35, <https://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html>) is responsible for the requirement that the immediate supervisor informs faculty members when they receive their annual review of their right to (per Faculty Rule 3335-5-04, <https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html>) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

## **A Probationary Tenure Track Faculty**

Every probationary tenure track faculty member is reviewed annually by their immediate supervisor who meets with the faculty member to discuss his or her performance and future plans and goals and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

The immediate supervisor's annual review letter to the faculty member includes an evaluation of librarianship, scholarship and service, content on future plans and goals, and a recommendation to the Vice Provost/Director on renewal of the probationary appointment. The immediate supervisor's letter (along with the faculty member's comments, if received) is forwarded to the Director. 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).

Probationary faculty are reviewed annually by AP&T until the sixth-year review. The Chair of AP&T appoints peer-review subcommittees to conduct annual peer reviews of probationary faculty members. Membership of the subcommittees will rotate annually so that each probationary faculty member is reviewed by a different subcommittee each year. The subcommittees will examine the dossier, administrative evaluation, and other documentation. If necessary, the subcommittee may obtain external evaluations of a probationary faculty member's publications and, with the candidate's approval, scholarship in progress. Each subcommittee will write a brief, signed letter assessing the probationary faculty member's scholarship and service. The letter will include a recommendation to the Vice Provost/Director on renewal of the probationary appointment. The letter will be addressed to the probationary faculty member and copies provided to the supervisor, the Vice Provost/Director of the Libraries, and OSUL Human Resources. Probationary faculty will have an opportunity to respond in writing to each annual peer review. The letter will be placed in the probationary faculty member's personnel file and a copy will be sent to the faculty member's immediate supervisor and the appropriate administrator(s).

If the Vice Provost/Director decides on renewal of the appointment, this decision is final. The Vice Provost/Director will communicate the decision to the faculty member. The faculty member may provide written comments on the review.

If the Vice Provost/Director recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-04 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the Vice Provost/Director for review and the Vice Provost/Director makes the final decision on renewal or nonrenewal of the probationary appointment.

### **1 Regional Campus Faculty**

Probationary faculty on regional campuses will be reviewed annually by the regional campus Dean/Director, appropriate Associate Director, and by AP&T. The regional campus review focuses mainly on librarianship and service. The Dean/Director's report of that review and a copy of the faculty member's dossier will be forwarded to the Vice Provost/Director of University Libraries for the personnel file. The Associate Director who is the liaison to the regional campuses will write an annual review of the scholarship and service aspects of the regional campus librarian. A copy will be given to the faculty member, to the immediate supervisor, and to the Vice Provost/Director of University Libraries. The Chair of AP&T will give a written review of the faculty member's scholarship and service to the faculty member, to the immediate supervisor, and to the Vice Provost/Director of University Libraries. In the event of divergence in performance assessment between the regional campus and the Libraries, the Vice

Provost/Director of University Libraries discusses the matter with the regional campus supervisor in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

## **2 Fourth-Year Review**

During the fall, a fourth-year review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the Vice Provost/Director makes the final decision regarding renewal or nonrenewal of the probationary appointment, with final approval by OAA.

External evaluations are only solicited when either the Vice Provost/Director or AP&T 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.

AP&T facilitates a discussion of the candidate's dossier during a special faculty meeting. Questions submitted in advance will be answered during the discussion. On completion of the discussion, the eligible faculty present at that meeting votes by written ballot on whether to renew the probationary appointment.

AP&T forwards a record of the vote and a written summary of the discussion to the Vice Provost/Director. The Vice Provost/Director conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

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

Faculty Rule 3335-6-03 (D) (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) 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 (<https://oaa.osu.edu/policies-and-procedures-handbook>).

## **B Tenured Faculty**

Professors and associate professors are reviewed annually by their immediate supervisor who conducts an independent assessment. The immediate supervisor meets with the faculty member to discuss his or her performance and future plans and goals and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

## **C Tenured Faculty—Regional Campus**

Annual review of the tenured faculty member is conducted both by the regional campus and the Libraries as described above in V. A. 1. In the event of divergence in performance assessment between the regional campus and the Libraries, the Vice Provost/Director of University Libraries discusses the matter with the immediate supervisor in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice.

## **D Associated Faculty**

Every compensated visiting faculty member is reviewed annually by their immediate supervisor who meets with the faculty member to discuss his or her performance and future plans and goals and prepares a written evaluation.

## **VI MERIT SALARY INCREASES AND OTHER REWARDS**

### **A Criteria**

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

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

Meritorious performance in librarianship, scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past calendar year, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

### **B Procedures**

The Assistant and Associate Directors recommend annual salary increases and other performance rewards to the Vice Provost/Director who may modify these recommendations. In formulating recommendations, the Vice Provost/Director consults with the Libraries' Executive Committee. As a general approach to formulating salary recommendations, the Assistant and Associate Directors divide faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory).

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

### **C Documentation**

The annual performance review of every faculty member requires that the documentation described in Section VII-C be submitted to the immediate supervisor no later than February 1 for untenured faculty and March 1 for tenured faculty of the year following the review.

- Updated CV, which will be made available to all faculty in an accessible place
- Updated core dossier, [Policies and Procedures Handbook](#), Volume 3

Faculty should not solicit evaluations as part of the annual review process.

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

### **A Criteria**

Each faculty member has an essential role in fulfilling the mission of the Libraries and the University. As part of fulfilling this mission, 20% of the faculty member's time is allotted to scholarship, professional service activities, and professional development. Tenure and promotion are an incentive, an

acknowledgment, and a reward for sustained contributions to that mission. Both are earned after a record of meritorious accomplishments and the judgment of peers within the context of University policies and rules.

In evaluating the candidate's qualifications in librarianship, 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.

### **1 Promotion to Associate Professor with Tenure**

Faculty Rule 3335-6-02 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) provides the following general criteria for promotion to associate professor with tenure:

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

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 librarian, as a scholar, and as one who provides effective service; and can be expected to continue a program of high-quality librarianship, scholarship, and service relevant to the mission of the Libraries and to the University.

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately diminishing the department's ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. For instance, if a candidate's primary role is and will continue to be teaching or collection development, then excellence in that particular area is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of librarianship that is a significantly smaller part of the individual's responsibilities.

Within the Libraries, teaching is defined as librarianship, those areas of expertise applicable to executing the functions of one's appointed position. Each faculty member has a variety of librarianship and service duties.

Excellence in librarianship, scholarship, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Library Association statement on ethics: <http://www.ala.org/advocacy/proethics/codeofethics/codeethics> and the American Association of University Professors' ethics statement: <https://www.aaup.org/report/statement-professional-ethics>.

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

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

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

### ***LIBRARIANSHIP***

For promotion to associate professor with tenure, a faculty member is expected to have demonstrated excellence in the areas of expertise applicable to the candidate's appointed position, which may include, but not be limited to, the following:

- Analyzing curricular and research needs of the candidate's assigned areas and matching scholarly and information resources to those needs.
- Sustaining and enhancing/expanding comprehensive knowledge of information resources in the areas of the candidate's expertise, as well as an awareness of the general contours of the information landscape.
- Developing and applying knowledge of use of collections to effectively manage resources and increase the value of collections for faculty's and students' research, teaching, and learning.
- Leveraging knowledge of publishing trends, open access publishing and other publication models, and of scholarly communication in order to support faculty and student scholarship.
- Supporting content discovery through resource description and the appropriate deployment of technologies in order to sustain access to resources.
- Managing, organizing and evaluating data and information to align with user behavior.
- Supporting scholarship at various stages of its creation and dissemination.
- Creativity in advancing the Libraries' mission through program leadership.
- Creativity in the development of instructional materials and effective pedagogies for a variety of teaching situations.
- Supporting faculty in redesigning courses and curriculum using current instructional design practices and OSUL resources.
- Providing expert assistance with and interpretation of policies regarding intellectual property; advising faculty and students on strategies for effectively managing and exercising their rights in their work.
- Building and integrating complex information technology systems and structures to promote faculty and student use of OSUL resources and expertise.
- Serving in an ex officio capacity on committees, task forces, working groups etc. within the scope of one's position.

### ***SERVICE***

In service, we recognize a variety of valuable contributions: service within the Libraries, within the University, within the larger profession, and within the community. Service must demonstrate useful contributions to the profession at the University, regional, state, national, or international levels.

Expectations for engagement with service to the institution and the profession continue after achieving tenure. Examples of service include but are not limited to:

- Involvement with professional journals and professional societies.
- Consultation activity with industry, education, or government.
- Administrative/governance service to the Libraries or the University.
- Advising to student groups and organizations.
- Mentoring or other community service engagements.

### ***SCHOLARSHIP***

Research or creative work leads to better librarianship; to innovation in the continuing response to research needs; and to the professional growth of the faculty. Each faculty member is expected to develop a research agenda reflecting professional interests. No single type of publication/creative work is invariably a more significant component of a research program than another. Nevertheless, a body of work with evidence of substantial impact with a particular emphasis on peer-reviewed scholarship, which is cumulative in nature and reflects the highest academic standards, is required.

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

- Published or created a body of work that is focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.

The following attributes of the body of work are considered:

- quality, impact, quantity
- unique contribution to a line of inquiry
- rigor of the peer-review process and degree of dissemination of publication venues
- Begun to develop a national and/or international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums and equivalent electronic venues, invitations to review scholarly works and grant proposals, and a beginning trend of positive citations in other scholars' publications. A reputation based on the quality of the scholarly contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences or prominence in social media.
- Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to research.

## **2 Promotion to Professor**

The criteria for promotion to professor are similar to those for promotion to associate professor with tenure, with the expectation of an ongoing record of excellence in librarianship and continuing professional growth. The accomplishments of the candidate's full career at OSU Libraries will be taken into consideration; however, activities since the last review will be given special attention since they demonstrate whether there is a continuing pattern of excellence in librarianship, scholarship and service.

The faculty member must provide evidence of further contributions to scholarship since the last review, the impact and quality of which are recognized by peers locally, nationally, or internationally. There must also be evidence of leadership in the governance of the OSU Libraries and to the profession of librarianship or a subject discipline. For promotion to professor, a faculty member is expected to serve as a role model and mentor.

It is recognized that members of the OSU Libraries faculty vary greatly in the type of duties they perform. Appreciation of the diversity and uniqueness of each faculty member's performance, scholarship, service, and other activities shall be a part of the review process. The totality of the faculty member's accomplishments since the last review shall be evaluated for evidence of overall excellence and the expectation that this level of achievement will continue in the future. In addition, as further specified by [Faculty Rule 3335-6-02](#), assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another.

## **3 Regional Campus Faculty**

The primary function of the regional campuses is to provide high-quality undergraduate instruction and to serve the academic needs of their communities. With this consideration in mind, in evaluating regional campus faculty for promotion and tenure or promotion, the Libraries will give greater emphasis to the quality of librarianship and service relative to scholarship. Recognizing that the character and quantity of scholarship by regional campus faculty may differ from that of Columbus campus faculty, due to the weight of other responsibilities and lack of access to comparable resources, the Libraries nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

## **B Procedures**

The Libraries' procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04, (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) and the Office Academic Affairs' annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the Policies and Procedures Handbook (<https://oaa.osu.edu/policies-and-procedures-handbook>). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the Libraries.

### **1 Candidate Responsibilities**

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist (<https://oaa.osu.edu/assets/files/documents/Form105.pdf>) without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

- To submit a copy of the Libraries' AP&T Criteria Document that was in effect at the time of the candidate's hire or when the candidate was last promoted (if, within ten years), or the most recent Criteria document, depending on which set of criteria and procedures the candidate wishes to use for her/his review. This must be submitted when the dossier is submitted. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed by the AP&T 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 Vice Provost/Director decides whether removal is justified (also see External Evaluations below).

## **2 Appointment, Promotion and Tenure Committee Responsibilities**

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

- To review this document annually and to recommend proposed revisions to the faculty.
- 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 subcommittee must confirm with the Vice Provost/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 the Libraries. Annually, in late-spring through early-autumn, to provide administrative support for the promotion and tenure review process as described below:
  - Late spring: with the help of AP&T and the candidate, the Procedures Oversight Designee (POD) will suggest names of external evaluators to the Vice Provost/Director.
  - Mid-summer: the POD and AP&T will solicit internal letters for candidates, giving Libraries faculty and staff the opportunity to provide a written assessment of the candidate's performance and impact in librarianship, service, and/or scholarship.
  - Early autumn: The POD and AP&T will review candidates' dossier for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
  - The POD will meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
  - AP&T will draft an analysis of each case following the eligible faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the Vice Provost/Director.
  - AP&T will provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
  - AP&T will provide a written evaluation and recommendation to the Vice Provost/Director in the case of joint appointees whose tenure initiating unit is another department. The full faculty does

not vote on these cases since the Libraries' recommendation must be provided to the other tenure initiating unit substantially earlier than the faculty begins meeting on the Libraries' cases.

### **3 Eligible Faculty Responsibilities**

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

- Review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- Attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.
- Attendance and voting via telecommunication may be permitted with the approval of the Vice Provost/Director in advance of the meeting.

### **4 Vice Provost/Director Responsibilities**

The responsibilities of the Vice Provost/Director are as follows:

- Where relevant, 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 the Libraries.
- Late summer: Solicit external evaluations from a list provided by the POD and including names suggested by AP&T, and the candidate. (Also see External Evaluations below.)
- Assure the POD makes 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.
- 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. See Section III.A.2. for further definition.
- Late autumn: Provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- Attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- Meet with the eligible faculty to explain any recommendations contrary to their recommendation.
- Inform each candidate in writing after completion of the Libraries' review process:
  - Of the recommendations by the eligible faculty and Vice Provost/Director;
  - Of the availability for review of the written evaluations by the eligible faculty and Vice Provost/Director;
  - Of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the Vice Provost/Director, for inclusion in the dossier.

The letter is accompanied by a form that the candidate returns to the Vice Provost/Director, indicating whether or not he or she expects to submit comments.

- Provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- Forward the completed dossier to the appropriate office by that office's deadline, except in the case of associated faculty for whom the Vice Provost/Director recommends against promotion. A negative recommendation by the Vice Provost/Director is final in such cases.
- Receive AP&T's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the Vice Provost/Director's independent written evaluation and recommendation, to the department chair of the other tenure initiating unit by the date requested.

## **5 Procedures for Regional Campus Faculty**

Regional campus faculty are first reviewed by the regional campus faculty according to the process established on that campus and then by the regional campus Dean/Director. The regional campus review focuses on librarianship and service.

The regional campus Dean/Director forwards the written evaluation and recommendation of the regional campus review to the Vice Provost/Director of University Libraries, from which point the review follows the procedures described for the Columbus campus faculty.

## **6 External Evaluations**

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

A minimum of five credible and useful evaluations should be obtained (although under extreme circumstances as outlined in the OAA documentation this may be altered; see section 3.7 of Vol. 3 of the OAA Policies and Procedures Handbook: <https://oaa.osu.edu/policiesprocedureshandbook.html>). 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, scholarship collaborator, or former academic advisor or postdoctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation.
- 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 Libraries cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of June prior to the autumn review. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by AP&T, the Vice Provost/Director, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is

requested from at least one of those persons. Faculty Rule 3335-6-04, <https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html> requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor the Libraries requires that the dossier contain letters from evaluators suggested by the candidate.

The Libraries follows the Office of Academic Affairs suggested format, provided at <https://oaa.osu.edu/assets/files/documents/Letter201.pdf> for letters requesting external evaluations.

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

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

## **C Documentation**

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

The complete dossier, including the documentation of librarianship noted below, is forwarded when the review moves beyond the Libraries. The documentation of scholarship and service noted below is for use during the Libraries' review only, unless reviewers at the university levels specifically request it.

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

### **1 Librarianship**

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

- Annual letters prepared by the AP&T sub-committees.
- Annual letters prepared by the immediate supervisor.
- Written responses by the candidate on any annual letter during the annual review process (if applicable).

- Cumulative assessments of teaching, such as OSUL Student Evaluation of Teaching reports, SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar for every class taught for credit in which the candidate is an instructor of record), or discursive evaluations (if applicable).
- Assessment of teaching following the Libraries' Teaching and Learning Committee procedures applicable at the time for a sample of teaching activities, including peer evaluation.
- Listing of teaching or librarianship activities in the dossier.

## **2 Scholarship**

The time period for material included in the dossier for probationary faculty is the date of hire to present. Scholarship produced prior to the date of hire may be considered in promotion and tenure decisions only insofar as that earlier scholarship provides context and illustrates a candidate's broader research arc, unless an exception was approved by the Office of Academic Affairs at the time of hire. For tenured or nonprobationary faculty it is the date of last promotion to present. Examples of documentation include:

- Copies of all scholarly works published or accepted for publication. Works accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form, with no further revisions needed.
- Documentation and/or description of all creative works.
- Documentation of grants and contracts received.
- Other relevant documentation of scholarship as appropriate (such as published reviews, publications where one's work is favorably cited, and grants and contract proposals that have been submitted).
- Scholarship activities as listed in the core dossier including:
  - Documentation of creative works pertinent to the candidate's professional focus including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, and websites.
  - Documentation of inventions, patents, disclosures, options and commercial licenses.
  - List of prizes and awards for research, scholarly, or creative work.

## **3 Service**

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

- Service activities as listed in the core dossier including:
  - involvement with professional journals and professional societies
  - consultation activity with industry, education, or government
  - administrative service to department
  - administrative service to college

- administrative service to University and Student Life
- advising to student groups and organizations
- awards and prizes for service to profession, university, or department
- any available documentation of the quality of service that enhances the list of service activities in the dossier

## **VIII APPEALS**

Faculty Rule 3335-6-05 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>).

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

## **IX SEVENTH-YEAR REVIEWS**

Faculty Rule 3335-6-05(<https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html>) sets forth the conditions of and procedures for a Seventh Year Review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review.

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