# Appointments, Promotion, and Tenure
# Criteria and Procedures for The Ohio State University Tenure-Initiating Unit (TIU) TIU NAME

**Colleges that serve as TIUs should also refer to the College Appointments, Promotion, and Tenure Criteria and Procedures sample document at [https://oaa.osu.edu/policies-and-procedures-handbook](https://oaa.osu.edu/policies-and-procedures-handbook).**

Approved by the Faculty: aa/aa/aaaa; bb/bb/bbbb; cc/cc/cccc; etc.

Last approved by the Faculty: dd/dd/dddd

Approved by the Office of Academic Affairs: ee/ee/eeee

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## I Preamble

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty; the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs *Policies and Procedures Handbook*; and other policies and procedures of the college and university to which the TIU and its faculty are subject.

Should those rules and policies change, the TIU 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 on the appointment or reappointment of the TIU head.

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

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 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 and other standards specific to this TIU and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's policy on equal opportunity.

## II TIU Mission

*Include TIU mission statement.*
*Wording here must be the same as in the Pattern of Administration.*

## III Definitions

### A Committee of the Eligible Faculty

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

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

#### 1 Tenure-track Faculty

#### Initial Appointment Reviews

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- For an appointment (hiring or appointment change from another faculty type) review of an assistant professor, the eligible faculty consists of all tenure-track faculty in the TIU.

  *(The bullet above is not applicable if the TIU bases appointment decisions on search committee recommendations rather than a vote of the eligible faculty. In such cases, the recommendation to the TIU head is the responsibility of the search committee.)*

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

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

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

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

**2 Clinical/Teaching/Practice Faculty**

**Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of a clinical/teaching/practice assistant professor, the eligible faculty consists of all tenure-track faculty and all clinical/teaching/practice faculty in the TIU.

  *(The bullet above is not applicable if the TIU bases appointment decisions on search committee recommendations rather than a vote of the eligible faculty. In such cases, the recommendation to the TIU head is the responsibility of the search committee.)*

- For appointment (hiring) at senior rank (clinical/teaching/practice associate professor or professor), a review is performed and a second vote cast by all tenured faculty of equal or higher rank than the position requested, and all nonprobationary clinical/teaching/practice faculty of equal or higher rank than the position requested.

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

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

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

**3 Research Faculty**

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**Initial Appointment Reviews**

- For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, the eligible faculty consists of all tenure-track faculty and all research faculty in the TIU.

  *(The bullet above is not applicable if the TIU bases appointment decisions on search committee recommendations rather than a vote of the eligible faculty. In such cases, the recommendation to the TIU head is the responsibility of the search committee.)*

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

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

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

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

**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 will be expected to withdraw from an appointment or promotion review of that candidate.

**5 Minimum Composition**

In the event that the TIU does not have at least three eligible faculty members who can undertake a review, the TIU head, after consulting with the dean, will appoint a faculty member from another tenure-initiating unit within the college. *(If the TIU is a college, the Dean will appoint a faculty member from another college).*

**B Promotion and Tenure Committee**

*TIUs that do not delegate promotion and tenure responsibilities to a Committee of Eligible Faculty subcommittee do not need this section.*

The TIU has a Promotion and Tenure Committee that assists the eligible faculty in managing the personnel and promotion and tenure issues. The committee consists of *[insert number appropriate to the TIU]* professors and *[insert number appropriate to the TIU]* associate professors. The

Sample TIU ART

committee's chair and membership are appointed by the TIU head. The term of service is three years, with reappointment possible. When considering cases involving clinical/teaching/practice faculty the Promotion and Tenure Committee may be augmented by *[insert number appropriate to the TIU]* nonprobationary clinical/teaching/practice faculty members.

When considering cases involving research faculty the Promotion and Tenure Committee may be augmented by *[insert number appropriate to the TIU]* nonprobationary 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. Faculty on approved leave of absences may not participate in personnel decisions including promotion and tenure reviews. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the TIU head 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, but participating fully in discussions and voting via remote two-way electronic connection are allowed.

**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.

*These numbers are illustrative. Use a voting principle that your faculty agree upon.*

## IV Appointments

**A Criteria**

The TIU is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the TIU. Important considerations include the individual's record to date in teaching, 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 and students to the TIU No offer will be extended in the event

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that the search process does not yield one or more candidates who would enhance the quality of the TIU. The search is either cancelled or continued, as appropriate to the circumstances.

**1 Tenure-track Faculty**

**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 TIU will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. An instructor must be approved for promotion to assistant professor by the beginning of the third year, or the appointment will not be renewed and the third year is the 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 TIU's eligible faculty, the TIU head, 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.

**Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the TIU 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. For individuals not recommended for promotion and tenure after the mandatory review, the 7th year will be the final year of employment.

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

*For clinical departments within the College of Medicine:*

Consistent with Faculty Rule 3335-6-09, faculty members with significant patient clinical service responsibilities are granted an extended probationary period of up to 11 years, including prior service credit, depending on the pattern of research, teaching, and service workload. An assistant professor with an extended probationary period is reviewed for promotion and tenure no later than the 11th year as to whether promotion and tenure will be granted at the beginning of the 12th year. For individuals not recommended for promotion and tenure after the mandatory review, the 12th year will be the final year of employment.

**Associate Professor and Professor.** Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

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Appointment at senior rank requires that the individual, at a minimum, meet the TIU's criteria in teaching, 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 unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. 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 Affairs.

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

As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria for appointment at the rank of assistant professor, associate professor, or professor are similar to those for Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and quality.

**3 Clinical/Teaching/Practice Faculty**

Appointment of clinical/teaching/practice faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to clinical/teaching/practice faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. The TIU may determine the process for reappointment according to the procedures set forth in the Faculty Annual Review and Reappointment Policy, III, A-G.

The TIU supports Teaching (*Clinical or Practice – select the title(s) that meet your unit needs*) Faculty. These appointments exist for faculty members who focus principally on the education needs of students in the TIU or college. Teaching Faculty members are expected to contribute the TIU's research and education mission as reflected in undergraduate and graduate program development and teaching. Teaching Faculty appointments are made in accordance with Faculty Rule 3335-7. Each new appointment must enhance, or have strong potential to enhance, the quality of the TIU.

*[HEALTH SCIENCES EXAMPLE: The TIU supports only the Clinical-Educator pathway. These appointments exist for faculty members who focus principally on the education needs for biomedical investigators and students at the health system, college, or TIU level. Clinical Faculty members are expected to contribute to the TIU's research and education missions, as reflected by participation in graduate program development and teaching. While Clinical Faculty may serve as the PI on a grant proposal, securing extramural funding as PI is not expected. However, participation as Co-I or collaborator in extramural funding proposals may be expected of some Clinical Faculty per their letter of offer. Clinical appointments are made in accordance with Faculty Rule 3335-7. Each new appointment must enhance, or have strong potential to enhance, the quality of the TIU.*

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**Instructor of Clinical/Teaching/Practice TIU NAME**. Appointment is normally made at the rank of instructor of clinical/teaching/practice TIU NAME when the appointee has not completed the requirements for the terminal degree. The TIU will make every effort to avoid such appointments. An appointment at the instructor level is limited to a three-year contract. In such cases, if the instructor has not completed requirements for promotion to the rank of assistant professor by the end of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

**Assistant Professor of Clinical/Teaching/Practice TIU NAME**. An earned doctorate and the required licensure/certification in his or her specialty are the minimum requirements for appointment at the rank of assistant professor of clinical/teaching practice TIU NAME. Evidence of ability to teach is highly desirable.

**Associate Professor of Clinical/Teaching/Practice TIU NAME and Professor of Clinical/Teaching/Practice TIU NAME**. Appointment at the rank of associate professor of clinical/teaching/practice TIU NAME or professor of clinical/teaching/practice TIU NAME requires that the individual have the required licensure/certification in his/her specialty, and meet, at a minimum, the TIU's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks.

**4 Research Faculty**

Appointment of research faculty entails one- to five-year appointments. The initial appointment is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent appointments will be offered, regardless of performance. The TIU may determine the process for reappointment according to the procedures set forth in the Faculty Annual Review and Reappointment Policy, III, A-G.

External appointees at the research associate professor or research professor level will demonstrate the same accomplishments in research and service as persons promoted within the TIU.

**Research Assistant Professor**. Appointment at the rank of research assistant professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program.

**Research Associate Professor and Research Professor**. Appointment at the rank of research associate professor or research professor requires that the individual have a doctorate and meet, at a minimum, the TIU's criteria for promotion to these ranks.

**5 Associated Faculty**

Associated faculty appointments may be as short as a few weeks to assist with a focused project, a semester to teach one or more courses, or for up to three years when a longer contract is useful for long-term planning and retention. Associated faculty may be reappointed.

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the TIU, such as teaching a course or

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serving on graduate student committees, for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**Clinical Instructor of Practice, Clinical Assistant Professor of Practice, Clinical Associate Professor of Practice, Clinical Professor of Practice**. Associated clinical appointments may either be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service such as *[provide a relevant example]* to the TIU, for which a faculty title is appropriate. Associated clinical/teaching/practice rank is determined by applying the criteria for appointment of clinical/teaching/practice faculty. Associated clinical/teaching/practice faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of clinical/teaching/practice faculty.

**Lecturer.** Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the criteria for appointment at that rank.

**Senior Lecturer.** Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion.

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but 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 uncompensated. Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointment of tenure-track faculty. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three years at 100% FTE.

## 6 Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule 3335-5-36. Full-time tenure track, clinical/teaching/practice, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the TIU head (regional campus dean

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for associated faculty on regional campuses) outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and nonprobationary clinical/teaching/practice associate professors and professors) will review the application and make a recommendation to the TIU head. The TIU head will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule 3335-05-04, emeritus status will not be considered.

See the OAA *Policies and Procedures Handbook* Volume 1, Chapter 1, for information about the types of perquisites that may be offered to emeritus faculty, provided resources are available.

Emeritus faculty may not vote at any level of governance and may not participate in promotion and tenure matters.

**7 Courtesy Appointments for Faculty**

Occasionally the active academic involvement in this TIU by a tenure-track, clinical, or research faculty member from another unit at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this TIU. Appropriate active involvement includes research collaboration, graduate student advising, teaching some or all of a course from time to time, 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 Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs *Policies and Procedures Handbook* for information on the following topics:

- recruitment of tenure-track, clinical, and research 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 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.

Searches for tenure-track faculty proceed as follows:

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

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The TIU head appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the TIU.

Prior to any search, members of all search committees must undergo inclusive hiring practices training available through the college with resources from the Office of Diversity and Inclusion. Implicit bias training, also strongly encouraged, is available through the Kirwan Institute for the Study of Race and Ethnicity.

The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.

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

- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific nationally prominent professional journal.

- Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the TIU office. If the faculty does not agree, the TIU head in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the TIU head; and the dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship, and may 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 completion of on-campus interviews, the eligible faculty meet to discuss perceptions and preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each candidate to the TIU head.

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

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on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the TIU head. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

In the event that more than one candidate achieves the level of support required to extend an offer, the TIU head decides which candidate to approach first. The details of the offer, including compensation, are determined by the TIU head.

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 TIU 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 regional campus has primary responsibility for determining the position description for a tenure-track faculty search, but the regional campus dean or designee consults with the TIU head to reach agreement on the description before the search begins. The regional campus search committee must include at least one representative from the TIU.

Candidates are interviewed by, at a minimum, the regional campus dean, TIU head, TIU eligible faculty, and regional campus search committee. The regional campus may have additional requirements for the search not specified in this document. A decision to make an offer requires agreement by the TIU head and regional campus dean. Until agreement is reached, negotiations with the candidate may not begin, and the letter of offer must be signed by the TIU head and the regional campus dean.

**3 Clinical/Teaching/Practice Faculty**

Searches for clinical/teaching/practice faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview is on clinical/professional practice rather than scholarship, and exceptions to a national search require approval only by the college dean.

**4 Research Faculty**

Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that during the on-campus interview the candidate is not asked to teach a class, and exceptions to a national search require approval only by the college dean.

**5 Transfer from the Tenure Track**

Tenure-track faculty may transfer to a clinical/teaching/practice or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the TIU head, the college dean, and the executive vice president and provost.

The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual’s career goals and activities have changed.

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Transfers from a clinical/teaching/practice appointment and from a research appointment to the tenure track are not permitted. Clinical/teaching/practice faculty members and research faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

**6 Associated Faculty**

The appointment, review, and reappointment of all compensated associated faculty are decided by the TIU head in consultation with the TIU Executive Committee.

Compensated associated appointments are generally made for a period of one to three years, unless a shorter or longer period is appropriate to the circumstances.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the TIU and are decided by the TIU head in consultation with the TIU Executive Committee.

Visiting appointments may be made for one term of up to three years or on an annual basis for up to three years.

Lecturer and senior lecturer appointments are made on an annual basis and rarely semester by semester. After the initial appointment, and if the TIU's curricular needs warrant it, a multiple year appointment may be offered.

All associated appointments expire at the end of the appointment term and must be formally renewed to be continued.

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

**7 Courtesy Appointments for Faculty**

Any TIU faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical/teaching/practice, or research faculty member from another Ohio State tenure-initiating unit. A proposal that describes the uncompensated academic service to this TIU justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the TIU head extends an offer of appointment. The TIU head reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

**V Annual Performance and Merit Review**

The TIU follows the requirements for the annual performance and merit review as set forth in the Policy on Faculty Annual Review, which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. According to the policy, the purposes of the review are to:

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- Assist faculty in improving professional productivity through candid and constructive feedback and through the establishment of professional development plans;
- Establish the goals against which a faculty member's performance will be assessed in the foreseeable future; and
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

The annual performance and merit review of every faculty member is based on expected performance in teaching, scholarship, and service as set forth in the TIU's guidelines on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.

The TIU head is required (per Faculty Rule 3335-3-35) to include a reminder in the annual performance and merit 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.

**A Documentation**

For their annual performance and merit review, faculty members must submit the following documents to the TIU head no later than the final day of autumn semester classes:

- Office of Academic Affairs dossier outline, *Policies and Procedures Handbook*, Volume 3 (*required for probationary faculty and recommended for associate professors*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
- updated CV, which will be made available to all faculty in an accessible place (*all faculty*)

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. That documentation is described in Section VI of this document.

Under no circumstances should faculty solicit evaluations from any party for purposes of the annual performance and merit review, as such solicitation places its recipient in an awkward position and produces a result that is unlikely to be candid.

**B Probationary Tenure-track Faculty**

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

*Also describe the role of any other faculty involved in the review.*

If the TIU head recommends renewal of the appointment, this recommendation is final. The TIU head's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The TIU head's letter (along with the faculty member's comments, if

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

**1 Regional Campus Faculty**

The annual performance and merit review of the probationary faculty member is first conducted on the regional campus, with a focus on teaching and service. The review then moves to the TIU and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the TIU, the TIU head 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.

**2 Fourth-Year Review**

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 makes the final decision regarding renewal or nonrenewal of the probationary appointment. *[If the TIU is a college, OAA makes the final decision on renewal of the probationary appointment.]*

External evaluations are solicited only when either the TIU head 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 TIU head, who conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the TIU 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 TIU head recommends renewal or nonrenewal. *[If the TIU is a college, the case is forwarded to OAA.]*

**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**

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Associate professors are reviewed annually by the TIU head (*or, in large TIUs, a designee who submits a written performance review to the TIU head along with comments on the faculty member's progress toward promotion; see note below*). The TIU head (*or designee; see note below*) conducts an independent assessment; 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.

Professors are reviewed annually by the TIU head (*or designee in large TIUs; see note below*), who meets with the faculty member to discuss his or her performance and future plans and goals. 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 TIU, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, and in the recruitment and retention of junior colleagues. As the highest ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The TIU head (*or designee; see note below*) prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

*[In some large TIUs, the TIU head may designate the responsibility for the annual review of associate professors and professors to division directors or other appropriate unit administrators. A subcommittee of the eligible faculty may provide a written review to the TIU head or designee. Accountability for the annual review process resides with the TIU head.]*

**D Tenured Faculty—Regional Campus**

The annual performance and merit 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 TIU and proceeds as described above. In the event of divergence in performance assessment between the regional campus and the TIU, the TIU head 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 Clinical/Teaching/Practice Faculty**

The annual performance and merit review process for clinical/teaching/practice probationary and nonprobationary faculty is identical to that for tenure-track probationary and tenured faculty respectively, except that non-probationary clinical/teaching/practice faculty may participate in the review of clinical/teaching/practice faculty of lower rank.

In the penultimate contract year of a clinical/teaching/practice faculty member's appointment, the TIU head must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 must be observed.

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The TIU may determine the process for reappointment according to the procedures set forth in the Faculty Annual Review and Reappointment Policy, III, A-G. There is no presumption of renewal of appointment.

**F Research Faculty**

The annual review process for research probationary and nonprobationary faculty is identical to that for tenure-track probationary and tenured faculty, respectively, except that non-probationary research faculty may participate in the review of research faculty of lower rank.

In the penultimate contract year of a research faculty member's appointment, the TIU head 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.

The TIU may determine the process for reappointment according to the procedures set forth in the Faculty Annual Review and Reappointment Policy, III, A-G. There is no presumption of renewal of appointment.

**G Associated Faculty**

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

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

**H Salary Recommendations**

The TIU head makes annual salary recommendations to the dean, who may modify them. The recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months.

In formulating recommendations, the TIU head consults with the TIU Executive Committee. As a general approach to formulating salary recommendations, the TIU head divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues. Salary increases should be based upon these considerations.

Faculty members who wish to discuss dissatisfaction with their salary increase with the TIU head 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.

Faculty who fail to submit the required documentation (see Section V-A above) for an annual performance and merit review at the required time will receive no salary increase in the year for

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which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

## VI Promotion and Tenure and Promotion Reviews

### A Criteria and Documentation

Faculty Rule 3335-6-02 provides the following context for promotion and tenure and promotion reviews:

> *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 institution dedicated to the discovery and transmission of knowledge.*

#### 1 Promotion to Associate Professor with Tenure

Faculty Rule 3335-6-02 provides the following general criteria for promotion to associate professor with tenure:

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

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

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

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

Excellence in teaching, scholarship, and service is moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics.

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*The content of the following chart is not meant to be exhaustive or applicable to all disciplines but is provided to demonstrate the types of criteria and documentation that may support promotion to associate professor with tenure. In adapting the suggested content to their particular needs, TIUs should ensure that their criteria and documentation are clear and rigorous, as befits The Ohio State University. In the evaluation of untenured associate professors for tenure, the same criteria will apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.*

| **TEACHING** | |
|---|---|
| **Criteria** | **Types of Documentation Demonstrating Impact and Showing Criteria Have Been Met** |
| Candidates must have *(select or write criteria for TIU)*: | Candidates may be asked to submit *(select or develop documentation appropriate to the TIU's criteria)*: |
| Developed new and effective instructional techniques and materials appropriate for the objectives and level of the course<br><br>Demonstrated continuing growth in subject matter knowledge | • Changes to or development of syllabi, examinations, laboratory exercises, case studies, field trip agenda, problem sets, computer software demonstrate up-to-date thought on subject content<br>• Summary of class comments demonstrate instructional content up-to-date<br>• Experts in field evaluate and determine syllabi, class evaluation items and class materials up-to-date and appropriate for topic and audience<br>• External faculty expert reviews course materials (syllabus, assignments, examinations, sample class information) and evaluates meeting contemporary expectations for topic<br>• Attended continuing education on topic or focus area and adopted new materials in class<br>• Completed Foundations, Impact Teaching through the University Institute for Teaching and Learning<br>• Completed Teaching at Ohio State through the University Institute for Teaching and Learning<br>• Awarding of "Endorsement" from University Institute of Teaching and Learning |
| *Further examples of criteria and types of documentation that demonstrate impact are in Appendix A. Each Tenure Initiating Unit should select or develop criteria and relevant documentation demonstrating that criteria have been met.* | |

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| SCHOLARSHIP/CREATIVE WORKS/RESEARCH | |
|---|---|
| **Criteria** | **Types of Documentation Demonstrating Impact and Showing Criteria Have Been Met** |
| Candidates must have *(select or write criteria for TIU)*: | Candidates may be asked to submit *(select or develop documentation appropriate to the TIU's criteria)*: |
| Demonstrated thematically focused research/scholarship/creative outcomes that contributes to knowledge in area of expertise and relationship to his/her scholarly agenda, unit mission and societal needs | • A body of work in peer reviewed journals, or other journals consistent with the standards of the appropriate unit, and/or conferences of high quality that clearly demonstrates creation of an independent research/scholarship/creative program over time, and contributes substantively to knowledge/outcomes in the area of focus. Publications demonstrate research/scholarship/creative focus.<br>• Complete publication record including archival journal papers, conference papers and posters (both refereed and otherwise), monographs, books, book chapters, textbooks based on scholarship, magazine articles and on-line publications, patents and invention disclosures.<br>• Sustained grants and contracts including foundations, federal agencies, major industry, or private sector – may be as Primary Investigator or Co-Investigator with documented focused contribution on multiple grants or projects<br>• White papers that can be shown to have influenced policy or practice<br>• 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 |
| *Further examples of criteria and types of documentation that demonstrate impact are in Appendix A. Each Tenure Initiating Unit should select or develop criteria and relevant documentation demonstrating that criteria have been met.* | |

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| SERVICE | |
|---|---|
| **Criteria** | **Types of Documentation to Demonstrate Criteria and Impact** |
| Candidates must have *(select or write criteria for TIU)*: | Candidates may be asked to submit *(select or develop documentation appropriate to the TIU's criteria)*: |
| Demonstrated excellence in service to the TIU | • Document contributions and quality indicators of the outcomes of the contributions<br>• Recognition (awards and prizes) for service to TIU<br>• Annual evaluations document excellence in service to TIU |
| Demonstration of high quality administration to the university at any level | • Document contributions and quality indicators of the outcomes of the contributions including positive change |
| Demonstrated community-engagement | • Documentation of activities and quality indicators within the Community Setting<br>• Documentation of unique service to disadvantaged communities. |
| *Further examples of criteria and types of documentation that demonstrate impact are in Appendix A. Each Tenure Initiating Unit should select or develop criteria and relevant documentation demonstrating that criteria have been met.* | |

**2 Promotion to Associate Professor without Tenure** *(for clinical departments within the College of Medicine)*

Faculty members with significant clinical responsibilities with an eleven-year probationary period who fully meet the teaching and service requirements for promotion to associate professor with tenure, but not all of the research requirements, may petition for promotion to associate professor without tenure.

*Spell out minimum scholarship requirements for promotion to associate professor without tenure.*

Faculty members who are promoted without the award of tenure must be considered for tenure no later than the mandatory review date or six years following promotion, whichever comes first.

**3 Promotion to Professor**

Faculty Rule 3335-6-02 establishes the following general criteria for promotion to the rank of professor:

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

The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those for promotion to associate professor with tenure (see chart in Section VI.A.1), with the added expectation of sustained accomplishment and quality of contributions, a record of

Sample TIU ART

continuing professional growth, and evidence of established national or international reputation in the field.

*Units should also add additional specific criteria about work applicable especially to senior faculty, e.g. doctoral-level advising, university and professional service, and appropriate levels of leadership.*

When assessing a candidate's national and international reputation in the field, a national and international reputation for the scholarship of teaching may be counted as either teaching or scholarship.

In addition, as further specified by Faculty Rule 3335-6-02, assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another. Promotion should 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 who have demonstrated impact in their scholarship of research and creative inquiry, teaching and learning, and service, but also to those who have exhibited excellence in the scholarship of leadership to make visible and demonstrable impact upon the mission of the TIU, college and university.

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.

**4 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 TIU will give greater emphasis to the quality of teaching 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 TIU nevertheless expects regional campus faculty to establish a program of high-quality scholarly activity.

**5 Clinical/Teaching/Practice Faculty**

**Promotion to Assistant Professor of Clinical/Teaching/Practice TIU NAME.** For promotion to assistant professor of clinical/teaching/practice TIU NAME, a faculty member must complete his/her doctoral degree and meet the required licensure/certification in his or her specialty and be performing satisfactorily in teaching, professional practice, and service.

**Promotion to Associate Professor of Clinical/Teaching/Practice TIU NAME.** For promotion to associate professor of clinical TIU NAME, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of this TIU. Specific criteria in teaching and service for promotion to associate professor of clinical/teaching/practice are similar

Sample TIU AFT

to those for promotion to associate professor with tenure. If scholarship activity is required, this must be noted.

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

*See also Appendix A for examples of criteria and types of documentation that demonstrate impact.*

**6 Research Faculty**

**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 extramural and/or commercial funding is required along with evidence of a growing national reputation.

**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 extramural and/or commercial funding is required, along with demonstrated research productivity as a result of such funding.

*See also Appendix A for examples of criteria and types of documentation that demonstrate impact.*

**B Procedures**

The TIU's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the *Policies and Procedures Handbook*. The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the TIU.

**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 are fully responsible for the contents of the dossier and should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

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- To submit a copy of the APT document under which the candidate wishes to be reviewed. Candidates may submit their TIU'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 TIU.

- To review the list of potential external evaluators developed by the TIU head 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 TIU head decides whether removal is justified. (Also see External Evaluations below.) Under no circumstances should a candidate solicit evaluations from any party for purposes of the review.

*These numbers are illustrative.*

**2 Promotion and Tenure Committee Responsibilities** *[or the Eligible Faculty, if the TIU does not delegate these responsibilities to a Promotion and Tenure Committee; see also Eligible Faculty Responsibilities in Section VI-B-3 below]*

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

- To review this document annually and to recommend proposed revisions to the faculty.

- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.

    - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.

    - A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.

    - Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the TIU head 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

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lack of citizenship or permanent residency are moreover not considered for promotion by this TIU.

- A decision by the committee to permit a review to take place in no way commits the eligible faculty, the TIU head, or any other party to the review to making a positive recommendation during the review itself.

- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.

  - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.

  - **Late Spring**: Suggest names of external evaluators to the TIU head.

  - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.

  - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.

  - Draft an analysis of the candidate's performance in teaching, scholarship and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.

  - Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the TIU head.

  - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.

  - Provide a written evaluation and recommendation to the TIU head in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases since the TIU's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this TIU's cases.

**3 Eligible Faculty Committee Responsibilities**

The responsibilities of the members of the Eligible Faculty Committee 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.

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- 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 TIU Head Responsibilities**

The responsibilities of the TIU head are as follows:

- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this TIU.

- **Late Spring Semester**: To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the TIU head, and the candidate. (Also see External Evaluations below.)

- To solicit an evaluation from a TIU head of any TIU in which the candidate has a joint appointment.

- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.

- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.

- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. The TIU head will leave the meeting to allow open discussion among the eligible faculty members.

- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.

- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.

- To inform each candidate in writing after completion of the TIU review process:

    - of the recommendations by the eligible faculty and TIU head

    - of the availability for review of the written evaluations by the eligible faculty and TIU head

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  - of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the TIU head, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the TIU head, 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 TIU head recommends against promotion. A negative recommendation by the TIU head is final in such cases.

- To receive the eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the TIU head's independent written evaluation and recommendation, to the TIU head 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 teaching and service.

The regional campus dean/director forwards the written evaluation and recommendation of the regional campus review to the TIU head, from which point the review follows the procedures described for the Columbus campus faculty.

**6 External Evaluations**

External evaluations of scholarly activity and research are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews, all research appointment contract renewals and promotion reviews, and all adjunct faculty promotion reviews. External evaluations of scholarly activity and research are not obtained for clinical/teaching/practice faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical/teaching/practice faculty member will be made by the TIU head after consulting with the candidate and the chair of the Promotion and Tenure (*or Eligible Faculty*) 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 TIU will solicit evaluations only 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.

Sample TIU APT

- 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 TIU cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure (*or Eligible Faculty*) Committee, the TIU head, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04 requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this TIU requires that the dossier contain letters from evaluators suggested by the candidate.

The TIU follows the Office of Academic Affairs suggested format 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 TIU head, 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 TIU's written evaluations or brought to the attention of the Office of Academic Affairs for advice.

**7 Dossier**

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure Committee (*or Eligible Faculty*) 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 him or her.

TIUs will require unit-appropriate documentation, using the chart in Section VI.A.1 as a guideline for promotion to associate professor with tenure. Guidelines for documentation for promotion to professor appear in Section VI.A.3. Appendix A contains additional examples of criteria and types of documentation that demonstrate impact. It is the responsibility of the TIU to evaluate and verify this documentation.

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The time period for teaching documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present.

The time period for scholarship documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion to present. All scholarship outcomes will be reviewed for increasing independence over time. There should also be an increasing trajectory of significant scholarly outcomes over time.

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion to present.

The complete dossier is forwarded when the review moves beyond the TIU. The documentation of teaching is forwarded along with the dossier. The documentation of scholarship and service is for use during the TIU review only, unless reviewers at the college and university levels specifically request it.

## VII Appeals

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

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.

## VIII Seventh-Year Reviews

Faculty Rule 3335-6-05 sets forth the conditions of and procedures for a Seventh-Year Review for a faculty member denied tenure as a result of a sixth-year (mandatory tenure) review.

## IX Procedures for Student and Peer Evaluation of Teaching

### A Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (eSEI) is required in every course offered in this TIU. (*Units using other evaluation tools instead of the eSEI should describe them here.)* 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.

*Include language on additional discursive evaluative instruments and processes for collecting them if your TIU requires or recommends them.*

### B Peer Evaluation of Teaching

Sample TIU APT

The TIU head oversees the TIU's peer evaluation of teaching process.

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

*The numbers below are illustrative only. University policy requires that two peer reviews be conducted, and TIUs should ensure that the numbers in unit documents are in accordance with college or campus guidelines or have been approved as an exception to these.*

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

- to review the teaching of probationary tenure-track and clinical faculty at least once per year during the each year of service 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 clinical/teaching/practice TIU NAME 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 four peer reviews of teaching before the commencement of a promotion review.

- to review the teaching of tenured professors and nonprobationary professors of clinical/teaching/practice TIU NAME 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 during the year of the review.

- To review, upon the TIU head'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 TIU head 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 Institute for Teaching and Learning.

Reviews conducted upon the request of the TIU head or the faculty member focus on the specific aspects of instruction requested by the TIU head 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

Sample TIU APT

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 TIU head, 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.

*The suggested process above could be supplemented by TIU guidelines for peer reviewers to use. Such guidelines should distinguish between reviews that are formative (provided as feedback to the faculty member instructing the course) and those that are evaluative (used in promotion reviews and performance reviews).*

Sample TIU APT

## APPENDIX A - SAMPLE CRITERIA AND EXAMPLES OF DOCUMENTATION

***DO NOT INCLUDE THIS TABLE – EXAMPLES ONLY***

The Office of Academic Affairs recognizes that promotion and tenure criteria must be specific to the college and tenure initiating unit. Below are **examples** of criteria for a unit. Also below are **examples of evidence/documentation** that may document outcomes indicating that expectations have been met. Neither the examples of criteria nor the examples of evidence/documentation are required. They are meant to assist units in writing their APT documents. Since a TIU's recommendations for or against promotion are evaluated at the college and university levels, it is important that the TIU's APT document specify appropriate criteria and identify the types of evidence documenting that these criteria have been met.

The Office of Academic Affairs recognizes that documentation of excellence may vary by individual due to his or her assigned work. The documentation of excellence should thus be based upon an individual's assigned work.

Building a dossier demonstrating that a candidate meets the criteria for promotion and/or tenure is the responsibility of the candidate.

| **TEACHING** | |
|---|---|
| **Criteria** | **Types of Documentation to Demonstrate Criteria and Impact** |
| Developed new and effective instructional techniques and materials appropriate for the objectives and level of the course<br>Demonstrated continuing growth in subject matter knowledge | • Changes to or development of syllabi, examinations, laboratory exercises, case studies, field trip agenda, problem sets, computer software demonstrate up-to-date thought on subject content<br>• Summary of class comments demonstrate instructional content up-to-date<br>• Experts in field evaluate and determine syllabi, class evaluation items and class materials up-to-date and appropriate for topic and audience<br>• External faculty expert reviews course materials (syllabus, assignments, examinations, sample class information) and evaluates meeting contemporary expectations for topic<br>• Attended continuing education on topic or focus area and adopted new materials in class<br>• Completed Foundations, Impact Teaching through University Institute for Teaching and Learning<br>• Completed Teaching at Ohio State through University Institute for Teaching and Learning<br>• Awarding of "Endorsement" from University Institute of Teaching and Learning |
| Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm | Cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar)[1] for every class |

Sample TIU APT

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| | • eSEI items 1, 3, 5, 6, 8, 9 scores equal or greater than average for TIU or college or goal score determined by TIU, i.e. greater than 4.0<br>• eSEI items 1, 3, 5, 6, 8, 9 scores demonstrate positive trajectory during review period<br>• eSEI item 10 scores equal or greater than average for TIU or college or goal score determined by TIU, i.e. greater than 4.0<br>• Positive peer evaluation documenting these areas demonstrate positive trajectory during review period<br>• Positive evaluations from Continuing Education Programs, both internal and external to the University |
| Demonstrated creativity in the use of various modes of instruction, classroom or online technology, and other teaching strategies to create an optimal learning environment | • Use of multimodal techniques or approaches to stimulate class participation and learning – discuss in teaching narrative<br>• Peer evaluation descriptions positive on mode of instruction<br>• eSEI items 2, 8, 9 scores equal or greater than average for TIU or college or goal score determined by TIU, i.e. greater than 4.0<br>• eSEI items 2, 8, 9 scores demonstrate positive trajectory during review period |
| Engaged students actively in the learning process and encouraged independent thought, creativity, critical thinking, and appreciation of the knowledge creation process | • eSEI items 2, 4, 8 scores equal or greater than average for TIU or college or goal score determined by TIU, i.e. greater than 4.0<br>• eSEI items 2, 4, 8 scores demonstrate positive trajectory during review period<br>• Exit questionnaires for graduating students demonstrate positive contributions<br>• Advising questionnaires demonstrate positive contributions<br>• STEP Advisor – demonstrated positive student outcomes |
| Disseminated intellectual contributions related to teaching | • Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.<br>• Peer-evaluated scholarly publications designed primarily to communicate with other educators, e.g., journal articles on curricula, course innovations and student placement<br>• Textbooks authored or edited, textbook chapters, laboratory exercises and other instructional |

Sample TIU APT

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| | materials developed. Scope and distribution of each item should be included. |
| Developed the ability to attain the educational benefits of students' diversity in the classroom | Summaries of the following demonstrating positive outcomes:<br>• Summative and non-summative evaluation/feedback from students/residents<br>• eSEI including summary of comments<br>• Faculty peer teaching reviews |
| Demonstrated excellence in outreach education | • Demonstration of an understanding of the needs of outreach learners<br>• Demonstrate the development of effective teaching materials and programs as measured by outcomes and adoption of the materials or programs<br>• Demonstration of creativity in subject matter development, methods of presentation and the incorporation of new ideas<br>• Positive evaluations of presentations provided through outreach education<br>• Documentation of evidence-based presentations meeting the needs of the learners |
| Provided appropriate and timely feedback to students/residents throughout the instructional process | • Positive qualitative student/resident comments<br>• Feedback on Carmen/Canvas sites |
| Treated students/residents with respect and courtesy | • Positive qualitative student/resident comments<br>• Positive peer evaluations<br>• Exit interview summaries demonstrating respect and courtesy |
| Improved curriculum through revision or new development of courses and/or academic programs | • Documentation of involvement and specific outcomes in curriculum development<br>• Leadership in development of the curriculum and courses which goes beyond normal teaching and service expectations |
| Served as advisor to an appropriate number of graduate students given the TIU's graduate student/faculty ratio and the faculty member's area(s) of expertise | Teaching activities as listed in the core dossier including:<br>• involvement in graduate/professional exams, theses, and dissertations, and undergraduate research<br>• mentoring postdoctoral scholars and researchers |
| Served as research mentor to undergraduate students | • mentoring of undergraduate research students<br>• promoting student participation in research presentations (e.g., Denman)<br>• serving as mentor or committee member for honors research theses |
| Engaged in documentable efforts to improve teaching | • Completed Foundations, Impact Teaching through University Institute for Teaching and Learning.<br>• Completed Teaching at Ohio State through University Institute for Teaching and Learning. |

Sample TIU APT

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| | • Teaching portfolio demonstrating teaching outcomes after efforts to improve<br>• Annual evaluations – setting goals, document activities in which faculty member participated, changes made to teaching, and outcomes of the change (improvement in student success as demonstrated by higher board scores or other documentation, eSEI improvements, etc)<br>• Maintenance and development of professional competence and growth through participation in workshops, study leaves, learning communities, courses, industry or government visits, interaction with practitioners and self-study should be documented in writing, including when each activity occurred, and professional growth accrued.<br>• Awarding of "Endorsement" by the University Institute for Teaching and Learning. |
| Demonstrated exceptional teaching outcomes | • Awards and formal recognition of teaching<br>• Presentations on pedagogy and teaching at national and international conferences<br>• Adoption of teaching materials at other colleges or universities<br>• eSEI – Item 10 scores equal to or greater than average for TIU or college or above 4.0<br>• National and international reputation for teaching – contribution to professional area in teaching.<br>• Use, development, and support of information technologies in teaching<br>• Exceptional Grand Round evaluations<br>• Exceptional professional meeting presentation evaluations<br>• Exceptional extension program evaluations<br>• Exceptional UITL Mentor evaluations<br>• Exceptional STEP Mentor evaluations |
| Demonstrated outstanding creation of digital media and/or digital editions or textbooks | • Creation of images, Web sites, digital tools and software for teaching<br>• Demonstrate adoption, distribution, or publication of digital works<br>• Awards and/or adoption of the above items by multiple sites<br>• Recognition by external reviewers<br>• Lead in the development of faculty team-based projects<br>• Technological innovations that permitted persons with disabilities to utilize digital media<br>• Engagement of new audiences |
| Demonstrated exceptional community-engaged teaching | Terms that may be used: service-learning, community-based education, practice-based |

Sample TIU APT

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| | teaching, experiential or active learning, internships, practicum<br>Excellence: Service-learning contributions:<br>• Relate to the faculty member's area of scholarship<br>• Responsive to a recognized need on-campus or in the community and have significant and lasting impact<br>• Carried out in partnership with the community being served<br>• Demonstrates that students have provided a needed service to members of the community at large, rather than an exclusionary group<br>• Methodology used provides a way for students to process and synthesize the impact of the service-learning experiences on their understanding of the subject matter of the class<br>• Demonstrates that students broadened understanding of civic involvement, even though students may also focus on career preparation<br>• Awards received for service related to engagement in teaching<br>• Dissemination of outcomes (presentations, articles, etc.) |
| Demonstrated a positive relationship between citizenship and teaching | • Mentorship to junior faculty<br>• Active involvement in teaching evaluation<br>• Counseling and directing of graduate and undergraduate students, postdocs, and residents in career development<br>• Mentorship to STEP cohort<br>• Mentorship to UITL corhort |
| Documented outstanding graduate teaching | • Exit questionnaires demonstrate outstanding graduate teaching<br>• Graduate students participate in programs outside the university<br>• Graduate students earn awards<br>• Graduate student placement in academic and non-academic settings post-graduation |

[1] *eSEI or other teaching evaluations such as trainee evaluations, Med-Star, or TIU/college specific evaluation forms*

| **SCHOLARSHIP** | |
|---|---|
| **Criteria** | **Types of Documentation to Demonstrate Criteria and Impact** |
| Demonstrated thematically focused research/scholarship/creative outcomes that contributes to knowledge in area of expertise and relationship to his/her scholarly agenda, unit mission and societal needs | • A body of work in peer reviewed journals, or other journals consistent with the standards of the appropriate unit, and/or conferences of high quality that clearly demonstrates creation of an independent research/scholarship/creative program over time, and contributes substantively to knowledge/outcomes in the area of focus. |

Sample TIU ART

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| | Publications demonstrate research/scholarship/creative focus.<br>• Complete publication record including archival journal papers, conference papers and posters (both refereed and otherwise), monographs, books, book chapters, textbooks based on scholarship, magazine articles and on-line publications, patents and invention disclosures.<br>• Refereed conference publications considering the conferences involved are recognized as refereed, highly selective, and of high quality. The visibility of the conference as a focal point for research in the area should be clearly established.<br>• Sustained grants and contracts including foundations, federal agencies, major industry, or private sector – may be as Primary Investigator or Co-Investigator with documented focused contribution on multiple grants or projects<br>• Leadership in conducting and reporting outcomes of clinical trials<br>• White papers that can be shown to have influenced policy or practice<br>• 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<br>• Outcome indicators, between faculty expertise and project objectives/constituent needs<br>• Creation of digital media, software, patents, and fact sheets – related to outcomes<br>• Description of significant outreach activities in which the faculty member played a major role, with qualitative indicators to evaluate the excellence of each activity |
| Demonstrated high quality scholarship/research of teaching | • Scholarship of teaching including pedagogical papers, textbooks, monographs and compilations of essential education resources, including online teaching resources. Scholarship of teaching may also include the creation of digital, simulation or other learning tools |
| Demonstrated high quality scholarship/research of extension | • Substantial body of focused, high quality research/scholarly/creative work that is disseminated appropriately and evaluated to have had impact on the field by internal and external evaluators<br>• Evidence of work in progress<br>• A body of work published and/or presented in high quality peer reviewed venues (books, |

Sample TTC APT

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| | journals, scholarly conferences, etc.) that is thematically focused, contributes substantively to knowledge in the area of focus, and cited or otherwise show evidence of influence on the work of others<br>• Rigorous peer review process and degree of dissemination of publication and/or presentation venues<br>• Archival journal publications and monographs, conference proceedings<br>• Internally peer reviewed OSU Extension publications for non-campus-based faculty<br>• Collaborative scholarship with defined intellectual contribution to multiple projects<br>• Obtain and sustain program funding from grants and contracts<br>• Awarded competitive peer reviewed funding awarded and outcomes from funding provide impact<br>• External reviewers note a reputation based on the quality of outcomes in area of specialization<br>• County and non-campus based faculty have statewide and regional reputation based on impact of specialization outcomes<br>• Campus-based faculty have national and/or international reputation |
| Demonstrated successful entrepreneurship | • Patents and licenses of invention disclosures, software development, and materials transfers<br>• Technology commercialization<br>• Formation of startup companies<br>• Licensing and options agreements<br>• Consulting work with industry and other external partners |
| Demonstrated influence on the work of others | • Outcome indicators of activity to external audience, to the profession/discipline and to the public good that indicate impact and importance in the candidate's field (and any other fields/communities where one engages)<br>• Development of program materials, exhibits, shows, and concerts, technical reports<br>• Invited webinars, presentations, scholars visiting to document, observe, or model your work<br>• Significant portion of the publications authored by the candidate with his or her own graduate students and other collaborators.<br>• Collaborative team-based research demonstrating the candidate's contributions to collaborative publications, and recognizable as a unique and creative contribution to the overall body of work |

Sample TIU ART

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| | • External reviewer positive comments<br>• Citations |
| Demonstrated high quality research/scholarship/print or digital scholarship/creative outcomes | • Publication in peer reviewed books, journals, and monographs<br>• Journal ranking, citation index, H-index, impact on field<br>• Primary journal of faculty member's discipline<br>• Engagement/outreach: scholarly recognition including peer reviews of the activity and its results<br>• Creation of digital media, digital humanities projects, software patents, and fact sheets<br>• Grants and contracts designed to develop and deliver outreach innovations<br>• Documentation of inventions, patents, disclosures, options and commercial licenses<br>• List of prizes and awards for research, scholarly, outreach, or creative work<br>• External reviewer positive comments |
| Demonstrated impact of research, scholarship or engagement | • Documentation that individuals from outside the state or nation have sought candidate and want to study the outreach provider's work and innovations<br>• Significance of problem addressed: how serious was the problem or need; what social, economic or cultural consequences could have resulted from not addressing the problem or need<br>• Citations in other works<br>• Documentation of inventions, patents, disclosures, options and commercial licenses<br>• Evidence of intellectual property such as copyrighted materials, software, multimedia presentations<br>• Materials transfer agreements suggest recognition of one's work and can be one component of national/international impact |
| Provided ongoing quantity of research/scholarship outcomes | • Sufficient productivity over time according to norms in the field and responsibility assignments |
| Demonstrated unique contribution to a line of inquiry | • Creative works pertinent to the candidate's professional focus. including artwork, choreography, collections, compositions, curated exhibits, moving images, multimedia, performances, radio, recitals, recordings, television, interviews, and websites<br>• External peer reviewers comment that the faculty member has made a substantial contribution to the discipline or profession in an area and the extent to which that person has been recognized by other scholars, public policy makers and/or practitioners |

Sample TT/APT

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| | • Documentation of consistent contribution demonstrating expertise to multiple scholarly, research or engagement outcomes<br>• Scale of the problem: what are the size, trends, future directions and geographic distribution of the problem<br>• Narrative describing the activity, the reasons why it was undertaken, the faculty member's intellectual contribution and leadership role, and how the activity contributed to his/her scholarly advancement<br>• Evidence of uniquely creative approaches to framing research questions, with unique cultural or demographic impact of the work in publications or grant proposals |
| Demonstrated rigor of peer-review process and degree of dissemination of publication venues. | • Documentation of inventions, patents, disclosures, options and commercial licenses<br>• Publications in high impact journals, conferences, etc.<br>• Documentation of the quality of the dissemination |
| Demonstrated the candidate's ability to conduct work and to mentor future scholars | • Candidate advising a group of graduate students at varying stages of progress in their own development as apprentice researchers<br>• Evidence of support for undergraduate, graduate, and professional students including, but not limited to, financial, grants, and positive mentoring reviews<br>• Undergraduate, graduate, and professional students and residents' advisee awards<br>• Student positions post-graduation<br>• Student success related to mentored work (productivity, dissemination, awards, scholarships, grants)<br>• Evidence of recruiting and mentoring of diverse student backgrounds, particularly women and people of color |
| Demonstrated participation in high quality collaborative work | • Scholarship, research, engagement, clinical outcomes that define a continued contribution showing expertise and creativity needed for the success of the project/study<br>• Narrative describing the activity, intent, anticipated outcomes, the faculty member's intellectual contribution and leadership role, and how the activity contributed to his/her scholarly/creative, clinical advancement<br>• Evaluations by other members of collaborative teams, including students and staff |

Sample TT/APT

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| Demonstrated ability to obtain and potential to sustain research and scholarly program funding. | • Competitive peer-reviewed research funding – national or international grants from funding agencies including government agencies and private foundations, and associations that require outcomes<br>• Grants and contracts designed to develop and deliver outreach or engagement innovations<br>• Documented contribution to the collaboration of research outcomes as a member of a team or interdisciplinary cluster<br>• Unique thematic focus (expertise) consistently provided to the scientific outcomes of the scholarship<br>• Defined pattern of contribution to interdisciplinary cluster |
| Developed national/international reputation in the candidate's field | • Recognition by external reviewers that the faculty member has made a substantial contribution to the discipline or profession and the extent to which that person has been recognized by other scholars, public policy makers and/or practitioners<br>• External evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications |
| Demonstrated a high degree of professional ethics | • High degree of ethical conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of undergraduate, graduate and professional students, residents, postdoctoral fellows, and collaborators<br>• Contributes to a positive and compelling working environment, particularly one that welcomes diversity in faculty, staff and students |
| Participated in high quality engaged scholarship/research | • The match, including outcome indicators, between faculty expertise and project objectives/constituent needs<br>• Scholarly recognition including peer reviews of the activity and its results<br>• Publication in peer reviewed books, journals, and monographs<br>• Creation of digital media, software technology, patents, computer programs, forums, and fact sheets influencing decision-making and demonstrating outcomes<br>• Development of program materials, exhibits, shows, and concerts, technical reports<br>• Grants and contracts designed to develop and deliver outreach innovations |

Sample TIU APT

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| | • Documentation that individuals from outside the state or nation have sought out and want to study the outreach provider's work and innovations<br>• Issuance of patents and evidence of intellectual property such as copyrighted materials, software, multimedia presentations<br>• Evaluative statements from peers or clients related to the specific ways in which the faculty member's scholarly contribution to a program, project, or product proved essential to its success and resulted in identifiable results that contributed to the public good.<br>• Recognition by peer reviewers that the faculty member has made a substantial contribution to the discipline or profession and the extent to which that person has been recognized by other scholars, public policy makers and/or practitioners<br>• Significance of problem addressed: how serious was the problem or need; what social, economic or cultural consequences could have resulted from not addressing the problem or need<br>• Scale of the problem: what are the size, trends, future directions and geographic distribution of the problem |
| Provided high quality outreach objectives and a relationship to scholarly agenda, unit mission and societal needs | • Description of significant outreach activities in which the faculty member played a major role, with qualitative indicators to evaluate the excellence of each activity |

| **SERVICE** | |
|---|---|
| **Examples of Expectations** | **Examples of Evidence/Documentation** |
| Demonstrated excellence in service to the TIU | • Document contributions and quality indicators of the outcomes of the contributions<br>• Recognition (awards and prizes) for service to TIU<br>• Annual evaluations document excellence in service to TIU |
| Demonstrated excellence in service to the college | • Document contributions and quality indicators of the outcomes of the contributions<br>• Awards and prizes for service to college<br>• Annual evaluations document excellence in service to college |
| Demonstrated excellence in service to the university | • Administrative responsibilities including: the direction/coordination of programs or offices, admission, participation in special studies or projection, collection development, care and use; grants received in support of the institution |

Sample TIU AFT

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| | • Appointed and elected university, college, and TIU ad hoc or standing committees, councils, task forces, and boards<br>• Documented service as a mentor to a STEP cohort or UITL cohort (if not used in teaching outcomes)<br>• Document contributions and quality indicators of the outcomes of the contributions, including roles in any major reports issued, policy changes recommended and implemented, and administrative units restructured.<br>• Document service that advances the University's commitment to diversity and inclusion<br>• Awards and prizes for service to University |
| Demonstrated excellence in service to the students of Ohio State | • Advising student clubs, College Honors Committee, or other organizations; serving on advisory and as outside representative on examination committees of graduate students, and serving on university student committees (e.g., Judicial and Academic misconduct), STEP mentor (if not used under teaching) |
| Demonstrated significant service to a profession or field | • Document contributions and quality indicators of the outcomes of the contributions<br>• Involvement with professional journals (journal editorships, reviewer) and professional societies (offices or committees)<br>• Professional conference organization<br>• Consultation activity with industry, professional discipline education development, other universities, or government<br>• Awards and prizes for service to profession<br>• Any available documentation (e.g., letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier<br>• Evidence of professional expertise to public and private entities as a reviewer for funding proposals, study sections, external examiner, member of panels and commissions, professional consultant to industry, government, and education organization |
| Development and advancement of the interdisciplinary cluster | • Document contributions and quality indicators of the outcomes of the contributions |
| Demonstrated high quality clinical services including human and animal clients, with care provide by university faculty members through hospitals laboratories, and clinics | • Document contributions and quality indicators of the clinical outcomes<br>• Documentation of high quality patient care and clinical service to hospitals<br>• Documentation of high quality service to hospital/healthcare system |

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| Demonstration of high quality administration to the University at any level | • Document contributions and quality indicators of the outcomes of the contributions including positive change |
| Demonstrated community-engagement | • Documentation of activities and quality indicators within the Community Setting<br>• Documentation of unique service to disadvantaged communities. |
| Demonstrated outstanding creation of print or digital media for a public audience and/or public websites | • Description of underlying creation of images, Web sites, digital tools and software for public<br>• Narrative describing theoretical underpinnings, intellectual rigor of work, and considerations in translating research for a public audience<br>• Awards and/or adoption of the above items by multiple sites<br>• Recognition by external reviewers<br>• Description of the creation of infrastructure as well as content and specific contributions by individual<br>• Lead in the development of faculty team-based projects and scholarship<br>• Scholarship demonstrating technological innovations that permitted persons with disabilities to utilize digital media<br>• Publications of print or digital works, reviews, citations of the work in print or digital journals<br>• Exhibitions and conferences |

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*The following section does not need to be included in governance documents.*
*It is for information only.*

**Alphabetical List of Hyperlinks Appearing in Ohio State University**
**Patterns of Administration**
**and**
**Appointments, Promotion, and Tenure Documents**

**Academic Rights and Responsibilities Reaffirmation:**
https://oaa.osu.edu/rightsandresponsibilities.html

**Affirmative Action, Equal Employment Opportunity and Non-Discrimination/Harassment**:
http://hr.osu.edu/policy/policy110.pdf

**American Association of University Professors' Statement on Professional Ethics**
http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm

**Application for Leave form**: https://eleave.osu.edu

**Code of Student Conduct**: https://trustees.osu.edu/rules/code-of-student-conduct/

**Committee on Academic Misconduct**: https://oaa.osu.edu/coam.html and
https://senate.osu.edu/committees/academic-misconduct

**Faculty Rule 3335-3 (administration):** https://trustees.osu.edu/rules/university-rules/chapter-3335-3-administration.html

**Faculty Rule 3335-5 (governance)**: https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html

**Faculty Rule 3335-6 (tenure-track faculty appointments)**: https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html

**Faculty Rule 3335-7 (clinical and research faculty appointments)**:
https://trustees.osu.edu/rules/university-rules/chapter-3335-7-rules-of-the-university-faculty-concerning-clinical-faculty-appointment-reappointment-and-nonreappointment-and-promotion.html

**Faculty Rule 3335-8 (instruction)**: https://trustees.osu.edu/rules/university-rules/chapter-3335-8-instruction.html

**Faculty Rule 3335-23-05 (initiation and investigation of code violations)**:
https://trustees.osu.edu/rules/code-of-student-conduct/3335-23-05.html

**Kirwan Institute for the Study of Race and Ethnicity:** http://www.kirwaninstitute.org/

**Office of Academic Affairs Governance Documents Webpage:** https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure

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**Office of Academic Affairs *Policies and Procedures Handbook***: https://oaa.osu.edu/policies-and-procedures-handbook

**Office of Distance Education and eLearning:** https://odee.osu.edu

**Office of Diversity and Inclusion:** https://odi.osu.edu/

**Office of Human Resources Employee and Labor Relations**: https://hr.osu.edu/services/elr/

**Office of Human Resources Employment Services**: www.hr.osu.edu/

**Office of Human Resources Policies and Forms**: https://hr.osu.edu/policies-forms

**Policy 1.15 (sexual misconduct):** https://hr.osu.edu/public/documents/policy/policy115.pdf

**Policy 6.27 (paid leave)**: https://hr.osu.edu/public/documents/policy/policy627.pdf

**Policy 6.45 (unpaid leave):** https://hr.osu.edu/public/documents/policy/policy645.pdf

**Policy on Equal Opportunity:** https://hr.osu.edu/public/documents/policy/policy110.pdf

**Policy on Faculty Annual Review:** http://oaa.osu.edu/assets/files/documents/annualreview.pdf

**Policy on Faculty Appointments**: https://oaa.osu.edu/assets/files/documents/facultyappointments.pdf

**Policy on Faculty Compensation**: https://oaa.osu.edu/assets/files/documents/facultycompensation.pdf

**Policy on Faculty Conflict of Commitment**:
https://oaa.osu.edu/assets/files/documents/conflictofcommitment.pdf

**Policy on Faculty Financial Conflict of Interest**:
https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Financial-Conflict-of-Interest.pdf

**Policy on Faculty Paid External Consulting**:
https://oaa.osu.edu/assets/files/documents/paidexternalconsulting.pdf

**Policy on Faculty Professional Leave:**
https://oaa.osu.edu/assets/files/documents/facultyprofessionalleave.pdf

**Policy on Faculty Recruitment and Selection:**
http://oaa.osu.edu/sites/default/files/links_files/facultyrecruitment.pdf

**Policy on Special Assignment**: https://oaa.osu.edu/assets/files/documents/specialassignment.pdf

**Rules of the University Faculty**: https://trustees.osu.edu/bylaws-and-rules/faculty-rules

**Sample Letter Requesting External Evaluation**:
https://oaa.osu.edu/assets/files/documents/Letter201.pdf

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**Samples of Teaching Criteria and Evidence:**
https://oaa.osu.edu/sites/default/files/uploads/handbooks/policies-and-procedures/samples/Evidence-for-Criteria_6-7-18.pdf.

**University Institute for Teaching and Learning:** https://uitl.osu.edu

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