

1  
2  
3  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17

# **Appointments, Promotion, and Tenure Criteria and Procedures for The Ohio State University Department/College of XXX**

Approved by the Faculty: aa/aa/aaaa; bb/bb/bbbb; cc/cc/cccc (historical dates)

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

**Table of Contents**

1  
2  
3 I Preamble ..... 5  
4 II Department Mission ..... 5  
5 III Definitions..... 5  
6     A Committee of the Eligible Faculty ..... 5  
7         1 Tenure-track Faculty ..... 5  
8         2 Clinical Faculty ..... 6  
9         3 Research Faculty ..... 6  
10         4 Conflict of Interest ..... 6  
11         5 Minimum Composition..... 7  
12     B Promotion and Tenure Committee ..... 7  
13     C Quorum..... 7  
14     D Recommendation from the Committee of the Eligible Faculty ..... 7  
15         1 Appointment ..... 7  
16         2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal..... 8  
17 IV Appointments..... 8  
18     A Criteria ..... 8  
19         1 Tenure-track Faculty..... 8  
20         2 Tenure-track Faculty—Regional Campus ..... 9  
21         3 Clinical Faculty..... 9  
22         4 Research Faculty ..... 10  
23         5 Associated Faculty ..... 10  
24         6 Courtesy Appointments for Faculty..... 11  
25     B Procedures ..... 11  
26         1 Tenure-track Faculty ..... 11  
27         2 Tenure-track Faculty—Regional Campus ..... 13  
28         3 Clinical Faculty ..... 13  
29         4 Research Faculty ..... 13  
30         5 Transfer from the Tenure-track..... 13  
31         6 Associated Faculty ..... 14  
32         7 Courtesy Appointments for Faculty..... 14

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1	V Annual Review Procedures.....	14
2	A Probationary Tenure-track Faculty .....	15
3	1 Regional Campus Faculty .....	15
4	2 Fourth-Year Review.....	15
5	3 Exclusion of Time from Probationary Period.....	16
6	B Tenured Faculty.....	16
7	C Tenured Faculty—Regional Campus .....	16
8	D Clinical Faculty .....	16
9	E Research Faculty .....	17
10	F Associated Faculty.....	17
11	VI Merit Salary Increases and Other Rewards .....	17
12	A Criteria .....	17
13	B Procedures .....	18
14	C Documentation .....	18
15	1 Teaching.....	18
16	2 Scholarship.....	19
17	3 Service.....	19
18	VII Promotion and Tenure and Promotion Reviews.....	19
19	A Criteria .....	19
20	1 Promotion to Associate Professor with Tenure .....	19
21	2 Promotion to Associate Professor without Tenure .....	22
22	3 Promotion to Professor .....	22
23	4 Regional Campus Faculty .....	23
24	5 Clinical Faculty.....	23
25	6 Research Faculty .....	23
26	B Procedures .....	23
27	1 Candidate Responsibilities.....	24
28	2 Promotion and Tenure Committee Responsibilities .....	24
29	3 Eligible Faculty Responsibilities .....	25
30	4 Department Chair Responsibilities .....	26
31	5 Procedures for Regional Campus Faculty.....	27

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1	6 External Evaluations .....	27
2	C Documentation .....	28
3	1 Teaching.....	28
4	2 Scholarship.....	29
5	3 Service.....	29
6	VIII Appeals.....	30
7	IX Seventh-Year Reviews.....	30
8	X Procedures for Student and Peer Evaluation of Teaching.....	30
9	A Student Evaluation of Teaching.....	30
10	B Peer Evaluation of Teaching .....	30
11		

Sample APT Document

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

## **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 [Policy and Procedures Handbook](#); and other policies and procedures of the college and university to which the department and its faculty are subject.

Should those rules and policies change, the department 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 department chair.

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 department'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 department and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to departmental 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 department 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 Department Mission**

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

## **III Definitions**

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

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

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

*(The paragraph above is not applicable if the department bases appointment decision on search committee recommendations rather than a vote of the full faculty)*

The eligible faculty for senior rank new appointments and for reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of equal rank to or higher than

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1 the candidate whose tenure resides in the department excluding the department chair, the dean and  
2 assistant and associate deans of the college, the executive vice president and provost, and the president.

3  
4 For tenure reviews of probationary professors, eligible faculty are tenured professors whose tenure resides  
5 in the department excluding the department chair, the dean and assistant and associate deans of the  
6 college, the executive vice president and provost, and the president.

## 7 8 **2 Clinical Faculty**

9  
10 The eligible faculty for appointment reviews of clinical faculty consists of all tenure-track faculty whose  
11 tenure resides in the department and all clinical faculty whose primary appointment is in the department.  
12 For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the  
13 rank under consideration.

14  
15 *(The paragraph above is not applicable if the department bases appointment decision on search*  
16 *committee recommendations or other search mechanisms rather than a vote of the full faculty)*

17  
18 The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion  
19 of clinical faculty consists of all tenured faculty of equal rank to or higher than the candidate whose  
20 tenure resides in the department and all nonprobationary clinical faculty of equal rank to or higher than  
21 the candidate whose primary appointment is in the department excluding the department chair, the dean  
22 and assistant and associate deans of the college, the executive vice president and provost, and the  
23 president.

## 24 25 **3 Research Faculty**

26  
27 The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty whose  
28 tenure resides in the department, all clinical faculty whose primary appointment is in the department, and  
29 all research faculty whose primary appointment is in the department. For an appointment at senior rank, a  
30 second vote is taken by the faculty members eligible to vote on the rank under consideration.

31  
32 *(The paragraph above is not applicable if the department bases appointment decision on search*  
33 *committee recommendations or other search mechanisms rather than a vote of the full faculty)*

34  
35  
36 The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion  
37 reviews of research faculty consists of all tenured faculty of equal rank to or higher than the candidate  
38 whose tenure resides in the department, all nonprobationary clinical faculty of equal rank to or higher  
39 than the candidate whose primary appointment is in the department, and all nonprobationary research  
40 faculty of equal rank to or higher than the candidate whose primary appointment is in the department  
41 excluding the department chair, the dean and assistant and associate deans of the college, the executive  
42 vice president and provost, and the president.

## 43 44 **4 Conflict of Interest**

45  
46 A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable  
47 close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some  
48 way on the candidate's services, has a close professional relationship with the candidate (dissertation  
49 advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's  
50 work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50%

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1 of the candidate's published work since the last promotion will be expected to withdraw from a promotion  
2 review of that candidate.

### 4 **5 Minimum Composition**

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

### 10 **B Promotion and Tenure Committee**

11  
12 *TIUs that do not delegate promotion and tenure responsibilities*  
13 *to a committee do not need this section.*

14  
15 The department has a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty  
16 in managing the personnel and promotion and tenure issues. The committee consists of three professors  
17 and two associate professors. The committee's chair and membership are appointed by the department  
18 chair. The term of service is three years, with reappointment possible.

19  
20 When considering cases involving clinical faculty the Promotion and Tenure Committee may be  
21 augmented by two nonprobationary clinical faculty members.

22  
23 When considering cases involving research faculty the Promotion and Tenure Committee may be  
24 augmented by two nonprobationary clinical faculty members and two nonprobationary research faculty  
25 members.

26  
27 *These numbers are illustrative. Use a committee size appropriate to your TIU.*

### 29 **C Quorum**

30  
31 The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty  
32 not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be  
33 excluded from the count for the purposes of determining quorum only if the department chair has  
34 approved an off-campus assignment.

35  
36 Faculty members who recuse themselves because of a conflict of interest are not counted when  
37 determining quorum.

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

40  
41 In all votes taken on personnel matters only "yes" and "no" votes are counted. Abstentions are not votes.  
42 Faculty members are strongly encouraged to consider whether they are participating fully in the review  
43 process when abstaining from a vote on a personnel matter.

44  
45 Absentee ballots and proxy votes are not permitted.

### 47 **1 Appointment**

48  
49 A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the  
50 votes cast are positive.

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1  
2 **2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**  
3

4 A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion,  
5 and contract renewal is secured when a simple majority of the votes cast are positive.  
6

7 *These numbers are illustrative. Use a voting principle that your faculty agree upon.*  
8

9 **IV Appointments**  
10

11 **A Criteria**  
12

13 The department is committed to making only faculty appointments that enhance or have strong potential  
14 to enhance the quality of the department. Important considerations include the individual's record to date  
15 in teaching, scholarship and service; the potential for professional growth in each of these areas; and the  
16 potential for interacting with colleagues and students in a way that will enhance their academic work and  
17 attract other outstanding faculty and students to the department. No offer will be extended in the event  
18 that the search process does not yield one or more candidates who would enhance the quality of the  
19 department. The search is either cancelled or continued, as appropriate to the circumstances.  
20

21 **1 Tenure-track Faculty**  
22

23 **Instructor.** Appointment at the rank of instructor is made only when the offered appointment is that of  
24 assistant professor, but requirements for the terminal degree have not been completed by the candidate at  
25 the time of appointment. The department will make every effort to avoid such appointments. An  
26 appointment at the instructor level is limited to three years. When an instructor has not completed  
27 requirements for promotion to the rank of assistant professor by the end of the third year of appointment,  
28 the third year is a terminal year of employment.  
29

30 Upon promotion to assistant professor, the faculty member may request prior service credit for time spent  
31 as an instructor. This request must be approved by the department's eligible faculty, the department chair,  
32 the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior  
33 service credit is appropriate since prior service credit cannot be revoked without a formal request for an  
34 extension of the probationary period. In addition all probationary faculty members have the option to be  
35 considered for early promotion.  
36

37 **Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank  
38 of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-  
39 quality service to the department and the profession is highly desirable. Appointment at the rank of  
40 assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of  
41 service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure  
42 Committee determines such a review to be appropriate. The granting of prior service credit, which  
43 requires approval of the Office of Academic Affairs, may reduce the length of the probationary period,  
44 but is strongly discouraged as it cannot be revoked once granted.  
45

46  
47 *For clinical departments within the College of Medicine:*  
48

49 Consistent with Faculty Rule [3335-6-09](#), faculty members with significant patient clinical service  
50 responsibilities are granted an extended probationary period of up to 11 years, including prior service



*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook for guidelines/instructions.](#)*

1 credit, depending on the pattern of research, teaching, and service workload. An assistant professor with  
2 an extended probationary period is reviewed for promotion and tenure no later than the 11<sup>th</sup> year as to  
3 whether promotion and tenure will be granted at the beginning of the 12<sup>th</sup> year. For individuals not  
4 recommended for promotion and tenure after the mandatory review, the 12<sup>th</sup> year will be the final year of  
5 employment.  
6

7  
8 **Associate Professor and Professor.** Appointment offers at the rank of Associate Professor or Professor,  
9 with or without tenure, and/or offers of prior service credit require prior approval of the Office of  
10 Academic Affairs.

11  
12 Appointment at senior rank requires that the individual, at a minimum, meet the department's criteria in  
13 teaching, scholarship, and service for promotion to these ranks. Appointment at senior rank normally  
14 entails tenure. A probationary appointment at senior rank is appropriate only under unusual  
15 circumstances, such as when the candidate has limited prior teaching experience or has taught only in a  
16 foreign country. A probationary period of up to four years is possible, on approval of the Office of  
17 Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If  
18 tenure is not granted, an additional (terminal) year of employment is offered.  
19

20 Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved  
21 for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.  
22 Offers to foreign nationals require prior consultation with the Office of International Education.  
23

## 24 **2 Tenure-track Faculty—Regional Campus**

25  
26 As the mission of the regional campuses emphasizes undergraduate instruction, regional campus criteria  
27 for appointment at the rank of assistant professor, associate professor, or professor are similar to those for  
28 Columbus campus faculty, but give relatively greater emphasis at each rank to teaching experience and  
29 quality.  
30

## 31 **3 Clinical Faculty**

32  
33 Appointment of clinical faculty entails a three-, four- or five-year contract. The initial contract is  
34 probationary, with reappointment considered annually. Tenure is not granted to clinical faculty. There is  
35 also no presumption that subsequent contracts will be offered, regardless of performance. If the  
36 department wishes to consider contract renewal, a formal review of the faculty member is required in the  
37 penultimate year of the current contract period. For more information see Faculty Rule [3335-7](#).  
38

39 **Instructor of Clinical XXX.** Appointment is normally made at the rank of instructor of clinical XXX  
40 when the appointee has not completed the requirements for the terminal degree. The department will  
41 make every effort to avoid such appointments. An appointment at the instructor level is limited to a four-  
42 year contract. In such cases, if the instructor has not completed requirements for promotion to the rank of  
43 assistant professor by the end of the penultimate year of the contract period, a new contract will not be  
44 considered even if performance is otherwise adequate and the position itself will continue.  
45

46 **Assistant Professor of Clinical XXX.** An earned doctorate and the required licensure/certification in his  
47 or her specialty are the minimum requirements for appointment at the rank of assistant professor of  
48 clinical XXX. Evidence of ability to teach is highly desirable.  
49

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook for guidelines/instructions.](#)*

1 **Associate Professor of Clinical XXX and Professor of Clinical XXX.** Appointment at the rank of  
2 associate professor of clinical XXX or professor of clinical XXX requires that the individual have the  
3 required licensure/certification in his/her specialty, and meet, at a minimum, the department's criteria—in  
4 teaching, professional practice and other service, and scholarship—for promotion to these ranks.  
5

#### 6 **4 Research Faculty**

7

8 Appointment of research faculty entails one- to five-year contracts. The initial contract is probationary,  
9 with reappointment considered annually. Tenure is not granted to research faculty. There is also no  
10 presumption that subsequent contracts will be offered, regardless of performance. If the department  
11 wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate  
12 year of the current contract period. For more information see Faculty Rule [3335-7](#).  
13

14 **Research Assistant Professor.** Appointment at the rank of research assistant professor requires that the  
15 individual have a doctorate and a record of high-quality publications that strongly indicate the ability to  
16 sustain an independent, externally funded research program.  
17

18 **Research Associate Professor and Research Professor.** Appointment at the rank of research associate  
19 professor or research professor requires that the individual have a doctorate and meet, at a minimum, the  
20 department's criteria for promotion to these ranks.  
21

#### 22 **5 Associated Faculty**

23

24 Associated faculty appointments may be as short as a few weeks to assist with a focused project, a  
25 semester to teach one or more courses, or for up to three years when a longer contract is useful for long-  
26 term planning and retention. With the exception of visiting faculty, associated faculty may be  
27 reappointed.  
28

29 **Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments  
30 may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give  
31 academic service to the department, such as teaching a course or serving on graduate student committees,  
32 for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the  
33 criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but  
34 not tenure) and the relevant criteria are those for promotion of tenure-track faculty.  
35

36 **Clinical Instructor of Practice, Clinical Assistant Professor of Practice, Clinical Associate Professor  
37 of Practice, Clinical Professor of Practice.** Associated clinical appointments may either be compensated  
38 or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated  
39 academic service such as XXX to the department, for which a faculty title is appropriate. Associated  
40 clinical rank is determined by applying the criteria for appointment of clinical faculty. Associated clinical  
41 faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for  
42 promotion of clinical faculty.  
43

44 **Lecturer.** Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a  
45 field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction  
46 is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the  
47 criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed  
48 one year.  
49

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

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

6  
7 **Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-  
8 track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated  
9 (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for  
10 appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for  
11 promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

12  
13 **Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.**  
14 Visiting faculty appointments may either be compensated or uncompensated. Visiting faculty members on  
15 leave from an academic appointment at another institution are appointed at the rank held in that position.  
16 The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for  
17 appointment of tenure-track faculty. Visiting faculty members are not eligible for tenure or promotion.  
18 They may not be reappointed for more than three consecutive years at 100% FTE.

## 19 20 **6 Courtesy Appointments for Faculty**

21  
22 Occasionally the active academic involvement in this department by a tenure-track, clinical, or research  
23 faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy)  
24 appointment in this department. Appropriate active involvement includes research collaboration, graduate  
25 student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy  
26 appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

## 27 28 **B Procedures**

29  
30 See the Faculty Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in  
31 the Office of Academic Affairs [Policies and Procedures Handbook](#) for information on the following  
32 topics:

- 33 • recruitment of tenure-track, clinical, and research faculty
- 34 • appointments at senior rank or with prior service credit
- 35 • hiring faculty from other institutions after April 30
- 36 • appointment of foreign nationals
- 37 • letters of offer
- 38
- 39

## 40 **1 Tenure-track Faculty**

41  
42 A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track  
43 positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs  
44 in advance. Search procedures must be consistent with the university policies set forth in the most recent  
45 update of [A Guide to Effective Searches](#) (requires log-in).

46  
47 Searches for tenure-track faculty proceed as follows:  
48

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook for guidelines/instructions.](#)*

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

4  
5 The department chair appoints a search committee consisting of three or more faculty who reflect the field  
6 of expertise that is the focus of the search (if relevant) as well as other fields within the department.

7  
8 Prior to any search, members of all search committees must undergo inclusive hiring practices training  
9 available through the [Office of Diversity and Inclusion](#). Implicit bias training, also strongly encouraged, is  
10 available through the [Kirwan Institute for the Study of Race and Ethnicity](#).

11  
12 The search committee:

- 13  
14 • Appoints a Diversity Advocate who is responsible for providing leadership in assuring that  
15 vigorous efforts are made to achieve a diverse pool of qualified applicants.
- 16  
17 • Develops a search announcement for internal posting in the university Job Postings through the  
18 [Office of Human Resources](#) and external advertising, subject to the department chair's approval.  
19 The announcement will be no more specific than is necessary to accomplish the goals of the  
20 search, since an offer cannot be made that is contrary to the content of the announcement with  
21 respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be  
22 stated as a preferred date, not a precise closing date, in order to allow consideration of any  
23 applications that arrive before the conclusion of the search.
- 24  
25 • Develops and implements a plan for external advertising and direct solicitation of nominations  
26 and applications. If there is any likelihood that the applicant pool will include qualified foreign  
27 nationals, the search committee must advertise using at least one 30-day online ad in a national  
28 professional journal. The university does not grant tenure in the absence of permanent residency  
29 ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of  
30 foreign nationals for permanent residency unless the search process resulting in their appointment  
31 to a tenure track position included an advertisement in a field-specific nationally prominent  
32 professional journal.
- 33  
34 • Screens applications and letters of recommendation and presents to the full faculty a summary of  
35 those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this  
36 judgment, on-campus interviews are arranged by the search committee chair, assisted by the  
37 department office. If the faculty does not agree, the department chair in consultation with the  
38 faculty determines the appropriate next steps (solicit new applications, review other applications  
39 already received, cancel the search for the time being).

40  
41 On-campus interviews with candidates must include opportunities for interaction with faculty groups,  
42 including the search committee; graduate students; the department chair; and the dean or designee. In  
43 addition, all candidates make a presentation to the faculty and graduate students on their scholarship, and  
44 teach a class. The latter could be an actual class or a mock instructional situation. All candidates  
45 interviewing for a particular position must follow the same interview format.

46  
47 Following completion of on-campus interviews, the eligible faculty meet to discuss perceptions and  
48 preferences, and to vote on each candidate. The eligible faculty reports a recommendation on each  
49 candidate to the department chair.

50

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook for guidelines/instructions.](#)*

1 If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the  
2 proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the  
3 appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of  
4 the proposed rank or the appropriateness of prior service credit to the department chair. Appointment  
5 offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior  
6 service credit require prior approval of the Office of Academic Affairs.  
7

8 In the event that more than one candidate achieves the level of support required to extend an offer, the  
9 department chair decides which candidate to approach first. The details of the offer, including  
10 compensation, are determined by the department chair.  
11

12 Potential appointment of a foreign national who lacks permanent residency must be discussed with the  
13 Office of International Affairs. The university does not grant tenure in the absence of permanent  
14 residency status. The department will therefore be cautious in making such appointments and vigilant in  
15 assuring that the appointee seeks residency status promptly and diligently.  
16

## 17 **2 Tenure-track Faculty—Regional Campus**

18

19 The regional campus has primary responsibility for determining the position description for a tenure-track  
20 faculty search, but the dean/director or designee consults with the department chair to reach agreement on  
21 the description before the search begins. The regional campus search committee must include at least one  
22 representative from the department.  
23

24 Candidates are interviewed by, at a minimum, the regional campus dean, department chair, department  
25 eligible faculty, and regional campus search committee. The regional campus may have additional  
26 requirements for the search not specified in this document. A decision to make an offer requires  
27 agreement by the department chair and regional campus dean. Until agreement is reached, negotiations  
28 with the candidate may not begin, and the letter of offer must be signed by the department chair and the  
29 regional campus dean.  
30

## 31 **3 Clinical Faculty**

32

33 Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception  
34 that the candidate's presentation during the on-campus interview may be on  
35 clinical/professional/educational practice rather than scholarship, and exceptions to a national search  
36 requires approval only by the college dean.  
37

## 38 **4 Research Faculty**

39

40 Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception  
41 that during the on-campus interview the candidate is not asked to teach a class, and exceptions to a  
42 national search requires approval only by the college dean.  
43

## 44 **5 Transfer from the Tenure-track**

45

46 Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist.  
47 Tenure is lost upon transfer, and transfers must be approved by the department chair, the college dean,  
48 and the executive vice president and provost.  
49

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook for guidelines/instructions.](#)*

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

3  
4 Transfers from a clinical appointment and from a research appointment to the tenure-track are not  
5 permitted. Clinical faculty members and research faculty members may apply for tenure-track positions  
6 and compete in regular national searches for such positions.

## 7 8 **6 Associated Faculty**

9  
10 The appointment, review, and reappointment of all compensated associated faculty are decided by the  
11 department chair in consultation with the department Executive Committee.

12  
13 Compensated associated appointments are generally made for a period of one year, unless a shorter or  
14 longer period is appropriate to the circumstances.

15  
16 Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any  
17 faculty member in the department and are decided by the department chair in consultation with the  
18 department Executive Committee.

19  
20 Visiting appointments may be made for one term of up to three years or on an annual basis for up to three  
21 consecutive years.

22  
23 Lecturer and senior lecturer appointments are usually made on a semester by semester or annual basis.  
24 After the initial appointment, and if the department's curricular needs warrant it, a multiple year  
25 appointment may be offered.

26  
27 All associated appointments expire at the end of the appointment term and must be formally renewed to  
28 be continued.

29 Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures  
30 for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not  
31 proceed to the college level if the department chair's recommendation is negative, and does not proceed to  
32 the university level if the dean's recommendation is negative.

## 33 34 **7 Courtesy Appointments for Faculty**

35  
36 Any department faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track,  
37 clinical, or research faculty member from another Ohio State department. A proposal that describes the  
38 uncompensated academic service to this department justifying the appointment is considered at a regular  
39 faculty meeting. If the proposal is approved by the eligible faculty, the department chair extends an offer  
40 of appointment. The department chair reviews all courtesy appointments every three years to determine  
41 whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a  
42 vote at a regular meeting.

## 43 44 **V Annual Review Procedures**

45  
46 The department follows the requirements for annual reviews as set forth in the [Policy on Faculty Annual](#)  
47 [Review](#).

48  
49 The annual reviews of every faculty member are based on expected performance in teaching, scholarship,  
50 and service as set forth in the department's guidelines on faculty duties and responsibilities; on any



*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1 additional assignments and goals specific to the individual; and on progress toward promotion where  
2 relevant.

3  
4 The documentation required for the annual performance review of every faculty member is described  
5 under Merit Salary Increases below. This material must be submitted to the department chair no later than  
6 the final day of autumn semester classes.

7  
8 The department chair is required (per Faculty Rule [3335-3-35](#)) to include a reminder in the annual review  
9 letter that all faculty have the right (per Faculty Rule [3335-5-04](#)) to view their primary personnel file and  
10 to provide written comment on any material therein for inclusion in the file.

### 11 **A Probationary Tenure-track Faculty**

12  
13  
14 Every probationary tenure-track faculty member is reviewed annually by the chair, who meets with the  
15 faculty member to discuss his or her performance, future plans, and goals; and prepares a written  
16 evaluation that includes a recommendation on whether to renew the probationary appointment.

17  
18 *Also describe the role of any other faculty involved in the review.*

19  
20 If the department chair recommends renewal of the appointment, this recommendation is final. The  
21 department chair's annual review letter to the faculty member renews the probationary appointment for  
22 another year and includes content on future plans and goals. The faculty member may provide written  
23 comments on the review. The department chair's letter (along with the faculty member's comments, if  
24 received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the  
25 cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she  
26 chooses).

27  
28 If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule  
29 [3335-6-04](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded  
30 to the college for review and the dean makes the final decision on renewal or nonrenewal of the  
31 probationary appointment.

### 32 **1 Regional Campus Faculty**

33  
34  
35 Annual review of the probationary faculty member is first conducted on the regional campus, with a focus  
36 on teaching and service. The review then moves to the department and proceeds as described above. In  
37 the event of divergence in performance assessment between the regional campus and the department, the  
38 department chair discusses the matter with the regional campus dean/director in an effort to clarify and  
39 reconcile the divergence, so that the faculty member receives consistent assessment and advice.

### 40 **2 Fourth-Year Review**

41  
42  
43 During the fourth year of the probationary period the annual review follows the same procedures as the  
44 mandatory tenure review, with the exception that external evaluations are optional and the dean (not the  
45 department chair) makes the final decision regarding renewal or nonrenewal of the probationary  
46 appointment.

47  
48 External evaluations are only solicited when either the department chair or the eligible faculty determine  
49 that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1 scholarship is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise  
2 capable of evaluating the scholarship without outside input.

3  
4 The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty  
5 votes by written ballot on whether to renew the probationary appointment.

6  
7 The eligible faculty forwards a record of the vote and a written performance review to the department  
8 chair. The department chair conducts an independent assessment of performance and prepares a written  
9 evaluation that includes a recommendation on whether to renew the probationary appointment. At the  
10 conclusion of the department review, the formal comments process (per Faculty Rule [3335-6-04](#)) is  
11 followed and the case is forwarded to the college for review, regardless of whether the department chair  
12 recommends renewal or nonrenewal.

### 13 14 **3 Exclusion of Time from Probationary Period**

15  
16 Faculty Rule [3335-6-03](#) (D) sets forth the conditions under which a probationary tenure-track faculty  
17 member may exclude time from the probationary period. Additional procedures and guidelines can be  
18 found in the Office of Academic Affairs [Policies and Procedures Handbook](#).

### 19 20 **B Tenured Faculty**

21  
22 Associate professors are reviewed annually by the professors, who submit a written performance review  
23 to the department chair along with comments on the faculty member's progress toward promotion. The  
24 department chair conducts an independent assessment; meets with the faculty member to discuss his or  
25 her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty  
26 member may provide written comments on the review.

27  
28 Professors are reviewed annually by the department chair. The department chair meets with the faculty  
29 member to discuss his or her performance and future plans and goals, and prepares a written evaluation on  
30 these topics. The faculty member may provide written comments on the review.

### 31 32 **C Tenured Faculty—Regional Campus**

33  
34 Annual review of the tenured faculty member is first conducted on the regional campus, with a focus on  
35 teaching and service. The review then moves to the department and proceeds as described above. In the  
36 event of divergence in performance assessment between the regional campus and the department, the  
37 department chair discusses the matter with the regional campus dean/director in an effort to clarify and  
38 reconcile the divergence, so that the faculty member receives consistent assessment and advice.

### 39 40 **D Clinical Faculty**

41  
42 The annual review process for clinical probationary and nonprobationary faculty is identical to that for  
43 tenure-track probationary and tenured faculty respectively, except that non-probationary clinical faculty  
44 may participate in the review of clinical faculty of lower rank.

45  
46 In the penultimate contract year of a clinical faculty member's appointment, the department chair must  
47 determine whether the position held by the faculty member will continue. If the position will not continue,  
48 the faculty member is informed that the final contract year will be a terminal year of employment. The  
49 standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

50



*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

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

## 6 **E Research Faculty**

7  
8 The annual review process for research probationary and nonprobationary faculty is identical to that for  
9 tenure-track probationary and tenured faculty, except that non-probationary research faculty may  
10 participate in the review of research faculty of lower rank.

11  
12 In the penultimate contract year of a research faculty member's appointment, the department chair must  
13 determine whether the position held by the faculty member will continue. If it will not continue, the  
14 faculty member is informed that the final contract year will be a terminal year of employment. The  
15 standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed.

16  
17 If the position will continue, a formal performance review for reappointment is necessary in the  
18 penultimate contract year to determine whether the faculty member will be offered a new contract. This  
19 review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External  
20 letters of evaluation are not solicited. *(If a unit wishes to solicit letters in this case, or to make them*  
21 *optional, describe that process here.)* There is no presumption of renewal of contract.

## 23 **F Associated Faculty**

24  
25 Compensated associated faculty members in their initial appointment must be reviewed before  
26 reappointment. The department chair, or designee, prepares a written evaluation and meets with the  
27 faculty member to discuss his or her performance, future plans, and goals. The department chair's  
28 recommendation on renewal of the appointment is final. If the recommendation is to renew, the  
29 department chair may extend a multiple year appointment.

30  
31 Compensated associated faculty members on a multiple year appointment are reviewed annually by the  
32 department chair, or designee. The department chair, or designee, prepares a written evaluation and meets  
33 with the faculty member to discuss his or her performance, future plans, and goals. No later than October  
34 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department  
35 chair's recommendation on reappointment is final.

## 37 **VI Merit Salary Increases and Other Rewards**

### 39 **A Criteria**

40  
41 Except when the university dictates any type of across the board salary increase, all funds for annual  
42 salary increases are directed toward rewarding meritorious performance and assuring, to the extent  
43 possible given financial constraints, that salaries reflect the market and are internally equitable.

44  
45 On occasion, one-time cash payments or other rewards, such as extra travel funds, are made to recognize  
46 non-continuing contributions that justify reward but do not justify permanent salary increases. Such  
47 payments/rewards are considered at the time of annual salary recommendations.

48  
49 Meritorious performance in teaching, scholarship, and service are assessed in accordance with the same  
50 criteria that form the basis for promotion decisions. The time frame for assessing performance will be the

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1 past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-  
2 quality performance in all three areas of endeavor and a pattern of consistent professional growth will  
3 necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are  
4 likely to receive minimal or no salary increases.

5  
6 Faculty who fail to submit the required documentation for an annual review at the required time will  
7 receive no salary increase in the year for which documentation was not provided, except in extenuating  
8 circumstances, and may not expect to recoup the foregone raise at a later time.

## 9 10 **B Procedures**

11  
12 The department chair recommends annual salary increases and other performance rewards to the dean,  
13 who may modify these recommendations. In formulating recommendations, the department chair consults  
14 with the department Executive Committee. Salary increases are formulated in dollar amounts rather than  
15 percentage increases, with the goal of distributing available funds in a manner that achieves the optimal  
16 distribution of salaries. As a general approach to formulating salary recommendations, the department  
17 chair divides faculty into at least four groups based on continuing productivity (high, average, low, and  
18 unsatisfactory) and considers market and internal equity issues as appropriate.

19  
20 Faculty members who wish to discuss dissatisfaction with their salary increase with the department chair  
21 should be prepared to explain how their salary (rather than the increase) is inappropriately low, since  
22 increases are solely a means to the end of an optimal distribution of salaries.

## 23 24 **C Documentation**

25  
26 The annual performance review of every faculty member requires that all documentation described below,  
27 including the two summary documents, be submitted to the department chair no later than the final day of  
28 autumn semester classes.

- 29  
30
- updated CV, which will be made available to all faculty in an accessible place
  - updated Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#),  
32 Volume 3
- 33

34 Any published materials presented for consideration should be in the form of reprints, photocopies of  
35 journal articles, or other final form that documents actual publication. An author's manuscript does not  
36 document publication.

37  
38 Under no circumstances should faculty solicit evaluations from any party for purposes of the annual  
39 review, as such solicitation places its recipient in an awkward position and produces a result that is  
40 unlikely to be candid.

41  
42 The time period covered by the documentation described below is the previous 12 months.

## 43 44 **1 Teaching**

45  
46 Cumulative eSEI reports (Student Evaluation of Instruction computer generated summaries prepared by  
47 the Office of the University Registrar) for every class taught.

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook for guidelines/instructions.](#)*

1 Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program  
2 (details, including required number, included in Section X: Procedures for Student and Peer Evaluation of  
3 Teaching below)

4  
5 Copies of pedagogical papers, books or other materials published, or accepted for publication. Material  
6 accepted for publication but not yet published must be accompanied by a letter from the publisher stating  
7 that the work has been unequivocally accepted and is in final form with no further revisions needed. An  
8 accepted but unpublished work submitted for consideration in a given annual review may not be  
9 resubmitted after publication for consideration in a future annual review.

10  
11 Other relevant documentation of teaching as appropriate.

## 12 13 **2 Scholarship**

14  
15 Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but  
16 not yet published must be accompanied by a letter from the publisher stating that the paper has been  
17 unequivocally accepted and is in final form with no further revisions needed.

18  
19 Documentation of grants and contracts received.

20  
21 Other relevant documentation of scholarship as appropriate (published reviews including publications  
22 where one's work is favorably cited, grants and contract proposals that have been submitted).

## 23 24 **3 Service**

25  
26 Any available documentation of the quality of service that enhances the list of service activities in the  
27 dossier.

## 28 29 **VII Promotion and Tenure and Promotion Reviews**

### 30 31 **A Criteria**

32  
33 Faculty Rule [3335-6-02](#) provides the following context for promotion and tenure and promotion reviews:

34  
35 *In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable*  
36 *flexibility shall be exercised, balancing, where the case requires, heavier commitments and*  
37 *responsibilities in one area against lighter commitments and responsibilities in another. In*  
38 *addition, as the university enters new fields of endeavor, including interdisciplinary endeavors,*  
39 *and places new emphases on its continuing activities, instances will arise in which the proper*  
40 *work of faculty members may depart from established academic patterns. In such cases care must*  
41 *be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual*  
42 *attainment, in accordance with the criteria set forth in these rules, is an essential qualification for*  
43 *promotion to tenured positions. Clearly, insistence upon this standard for continuing members of*  
44 *the faculty is necessary for maintenance and enhancement of the quality of the university as an*  
45 *institution dedicated to the discovery and transmission of knowledge.*

### 46 47 **1 Promotion to Associate Professor with Tenure**

48  
49 Faculty Rule [3335-6-02](#) provides the following general criteria for promotion to associate professor with  
50 tenure:

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook for guidelines/instructions.](#)*

1  
2 *The awarding of tenure and promotion to the rank of associate professor must be based on*  
3 *convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar,*  
4 *and as one who provides effective service; and can be expected to continue a program of high-*  
5 *quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which*  
6 *the faculty member is assigned and to the university.*

7  
8 Tenure is not awarded below the rank of associate professor at The Ohio State University.  
9

10 The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and  
11 judge the probability that faculty, once tenured, will continue to develop professionally and contribute to  
12 the department's academic mission at a high level for the duration of their time at the university.  
13

14 Every candidate is held to a high standard of excellence in all aspects of performance. Accepting  
15 weakness in any aspect of performance in making a tenure decision is tantamount to deliberately  
16 handicapping the department's ability to perform and to progress academically. Above all, candidates are  
17 held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's  
18 primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate  
19 teaching is required. A mediocre performance in this area would not be adequately counterbalanced by  
20 excellent performance in another aspect of teaching that is a significantly smaller part of the individual's  
21 responsibilities.  
22

23 Excellence in teaching, scholarship, and service are moreover defined to include professional ethical  
24 conduct in each area of responsibility, consistent with the [American Association of University Professors'](#)  
25 [Statement on Professional Ethics.](#)  
26

27 *The content of the following sections is obviously not appropriate for all disciplines, but is nevertheless*  
28 *provided in order to demonstrate the requisite level of specificity. The department should strive for an*  
29 *equivalent or greater level of detail in adapting the suggested content to its particular needs.*  
30

31 The accomplishments listed below in the areas of teaching, scholarship, and service are expected of  
32 faculty for promotion to associate professor with tenure. In the evaluation of untenured associate  
33 professors for tenure, the same criteria apply, along with any others established in writing at the time a  
34 senior rank appointment without tenure was offered.  
35

### 36 **Teaching**

37  
38 For promotion to associate professor with tenure, a faculty member is expected to have:  
39

- 40 • provided up-to-date content at an appropriate level in every instructional situation and  
41 demonstrated continuing growth in subject matter knowledge  
42
- 43 • demonstrated the ability to organize and present class material effectively with logic, conviction,  
44 and enthusiasm  
45
- 46 • demonstrated creativity in the use of various modes of instruction, classroom technology, and  
47 other teaching strategies to create an optimal learning environment  
48
- 49 • engaged students actively in the learning process and encouraged independent thought, creativity,  
50 and appreciation of the knowledge creation process

- 1
- 2 • provided appropriate and timely feedback to students throughout the instructional process
- 3
- 4 • treated students with respect and courtesy
- 5
- 6 • improved curriculum through revision or new development of courses and/or academic programs
- 7
- 8 • served as advisor to an appropriate number of graduate students given the department's graduate
- 9 student/faculty ratio and the faculty member's area(s) of expertise
- 10
- 11 • engaged in documentable efforts to improve teaching
- 12

### 13 **Scholarship**

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

- 15
- 16
- 17 • Published a body of work in high-quality peer-reviewed venues that is thematically focused,
- 18 contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited
- 19 or otherwise show evidence of influence on the work of others. The following attributes of the
- 20 body of work are considered:
- 21
  - 22 ○ quality, impact, quantity
  - 23 ○ unique contribution to a line of inquiry or repackaging of earlier work
  - 24 ○ rigor of the peer-review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than
  - 25 conference proceedings, published scholarship more than unpublished scholarship, and
  - 26 original works more than edited works.
  - 27 ○ empirical work, demonstrating the candidate's ability to conduct such work and to mentor
  - 28 future scholars, is preferred to synthetic work at this stage of career
  - 29 ○ While collaborative work is encouraged, and indeed is essential to some types of inquiry,
  - 30 the candidate's intellectual contributions to collaborative work must be clearly and fairly
  - 31 described to permit accurate assessment.
  - 32
- 33
- 34 • A demonstrated ability to obtain and potential to sustain research program funding. Competitive
- 35 peer-reviewed funding is weighted more favorably than other types, since it serves as a quality
- 36 indicator of research programs, and grants requiring the exercise of intellectual creativity are
- 37 weighted more heavily than those that largely dictate the work to be done. Research funding is a
- 38 means to an end; funding that has not led to research productivity is disregarded in the review.
- 39
- 40 • A developing national/international reputation in the candidate's field as evidenced by external
- 41 evaluations, invitations to present at recognized prestigious forums, invitations to review research
- 42 papers and grant proposals, and a beginning trend of positive citations in other researchers'
- 43 publications. A reputation based on the quality of the research contribution is distinguished from
- 44 one based mainly on familiarity through the faculty member's frequent attendance at national and
- 45 international conferences.
- 46
- 47 • Demonstrated a high degree of ethics in the conduct of research including, but not limited to, full
- 48 and timely adherence to all regulations relevant to the research program, and ethical treatment of
- 49 graduate students, postdoctoral fellows, and collaborators.
- 50

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1 **Service**

2  
3 For promotion to associate professor with tenure, a faculty member is expected to have:

- 4  
5
  - 6 • made substantive contributions to the governance of the department in a manner that facilitates positive contributions by others
  - 7 • demonstrated the potential for useful contributions to the profession

8  
9

10 **2 Promotion to Associate Professor without Tenure**

11  
12  
13 *For clinical departments within the College of Medicine:*

14  
15 Faculty members on the with significant clinical responsibilities with an eleven-year probationary period  
16 who fully meet the teaching and service requirements for promotion to associate professor with tenure but  
17 not all of the research requirements, may petition for promotion to associate professor without tenure.

18  
19 *Spell out minimum scholarship requirements for promotion to associate professor without tenure*

20  
21 Faculty members who are promoted without the award of tenure must be considered for tenure no later  
22 than the mandatory review date or six years following promotion, whichever comes first.  
23

24  
25 **3 Promotion to Professor**

26  
27 Faculty Rule [3335-6-02](#) establishes the following general criteria for promotion to the rank of professor:

28  
29 *Promotion to the rank of professor must be based on convincing evidence that the faculty member*  
30 *has a sustained record of excellence in teaching; has produced a significant body of scholarship*  
31 *that is recognized nationally or internationally; and has demonstrated leadership in service.*  
32

33 The specific criteria in teaching, scholarship, and service for promotion to professor are similar to those  
34 for promotion to associate professor with tenure, with the added expectation of sustained accomplishment  
35 and quality of contributions, a record of continuing professional growth, and evidence of established  
36 national or international reputation in the field.  
37

38 *Units should also add additional specific criteria about work applicable especially to senior faculty,*  
39 *e.g. doctoral-level advising, university and professional service, and appropriate levels of leadership.*  
40

41 When assessing a candidate's national and international reputation in the field, a national and  
42 international reputation for the scholarship of teaching may be counted as either teaching or scholarship.  
43

44 In addition, as further specified by Faculty Rule [3335-6-02](#), assessment is in relation to specific assigned  
45 responsibilities with reasonable flexibility being exercised in order to balance, where the case requires,  
46 heavier responsibilities and commitment in one area against lighter ones in another.  
47

48 In the evaluation of untenured professors for tenure, the same criteria apply, along with any others  
49 established in writing at the time a senior rank appointment without tenure was offered.  
50



1 **4 Regional Campus Faculty**  
2

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

10  
11 **5 Clinical Faculty**  
12

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

17  
18 **Promotion to Associate Professor of Clinical XXX.** For promotion to associate professor of clinical  
19 XXX, a faculty member must show convincing evidence of excellence as a teacher and a provider of  
20 effective service; must have a documented high level of competence in professional practice; and must  
21 display the potential for continuing a program of high-quality teaching and service relevant to the mission  
22 of this department. Specific criteria in teaching and service for promotion to associate professor-clinical  
23 are similar to those for promotion to associate professor with tenure. Scholarship activity is not expected.  
24

25 **Promotion to Professor of Clinical XXX.** For promotion to professor of clinical XXX, a faculty member  
26 must have a record of continuing professional growth and increasing quality of contributions, including a  
27 sustained record of excellence in teaching and professional practice; leadership in service to this  
28 department and to the profession; and production and dissemination of scholarly materials pertinent to  
29 pedagogy and/or professional practice.  
30

31 **6 Research Faculty**  
32

33 **Promotion to Research Associate Professor.** For promotion to research associate professor, a faculty  
34 member must have a substantial record of high-quality focused research consistent with an appointment  
35 devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged  
36 by external evaluators as having substantial positive impact on the field. A record of continuous peer  
37 reviewed funding is required along with evidence of a growing national reputation.  
38

39 **Promotion to Research Professor.** For promotion to research professor, a faculty member must have a  
40 national or international reputation built on an extensive body of high-quality publications and with  
41 demonstrated impact on the field. A record of continuous peer-reviewed funding is required, along with  
42 demonstrated research productivity as a result of such funding.  
43

44 **B Procedures**  
45

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

1  
2 **1 Candidate Responsibilities**  
3

4 The responsibilities of the candidate are as follows:  
5

- 6 • To submit a complete, accurate dossier fully consistent with Office of Academic Affairs  
7 guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist  
8 without ascertaining that they have fully met the requirements set forth in the Office of Academic  
9 Affairs core dossier outline including, but not limited to, those highlighted on the checklist.  
10
- 11 • To submit a copy of the department's APT Document that was in effect at the time of the  
12 candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he  
13 wishes to be reviewed under that document's criteria and procedures. This must be submitted  
14 when the dossier is submitted to the department.  
15
- 16 • To review the list of potential external evaluators developed by the department chair and the  
17 Promotion and Tenure Committee. The candidate may add no more than three additional names,  
18 but is not required to do so. The candidate may request the removal of no more than two names,  
19 providing the reasons for the request. The department chair decides whether removal is  
20 justified. (Also see External Evaluations below.)  
21

22 *These numbers are illustrative.*  
23

24 **2 Promotion and Tenure Committee Responsibilities**  
25

26 The responsibilities of the Promotion and Tenure Committee are as follows:  
27

- 28 • To review this document annually and to recommend proposed revisions to the faculty.  
29
- 30 • To consider annually, in spring semester, requests from faculty members seeking a non-  
31 mandatory review in the following academic year and to decide whether it is appropriate for such  
32 a review to take place. Only professors on the committee may consider promotion review  
33 requests to the rank of professor. A two-thirds majority of those eligible to vote on a request  
34 must vote affirmatively for the review to proceed.  
35
  - 36 ○ The committee bases its decision on assessment of the record as presented in the faculty  
37 member's CV and on a determination of the availability of all required documentation for  
38 a full review (student and peer evaluations of teaching). Lack of the required  
39 documentation is necessary and sufficient grounds on which to deny a non-mandatory  
40 review.  
41
  - 42 ○ A tenured faculty member may only be denied a formal promotion review under Faculty  
43 Rule [3335-6-04](#) for one year. If the denial is based on lack of required documentation and  
44 the faculty member insists that the review go forward in the following year despite  
45 incomplete documentation, the individual should be advised that such a review is  
46 unlikely to be successful.  
47
  - 48 ○ Consistent with Office of Academic Affairs policy, only faculty members who are  
49 citizens or permanent residents of the United States may be considered for non-  
50 mandatory tenure review. The committee must confirm with the department chair that an



1 untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or  
2 permanent resident (has a "green card"). Faculty members not eligible for tenure due to  
3 lack of citizenship or permanent residency are moreover not considered for promotion by  
4 this department.

- 5
- 6 ○ A decision by the committee to permit a review to take place in no way commits the  
7 eligible faculty, the department chair, or any other party to the review to making a  
8 positive recommendation during the review itself.  
9
  - 10 • Annually, in late spring through early autumn semester, to provide administrative support for the  
11 promotion and tenure review process as described below.  
12
  - 13 ○ **Late Spring:** Select from among its members a Procedures Oversight Designee who will  
14 serve in this role for the following year. The Procedures Oversight Designee cannot be  
15 the same individual who chairs the committee. The Procedures Oversight Designee's  
16 responsibilities are described in the Office of Academic Affairs annual procedural  
17 guidelines.  
18
  - 19 ○ **Late Spring:** Suggest names of external evaluators to the department chair.  
20
  - 21 ○ **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including  
22 citations), and consistency with Office of Academic Affairs requirements; and work with  
23 candidates to assure that needed revisions are made in the dossier before the formal  
24 review process begins.  
25
  - 26 ○ Meet with each candidate for clarification as necessary and to provide the candidate an  
27 opportunity to comment on his or her dossier. This meeting is not an occasion to debate  
28 the candidate's record.  
29
  - 30 ○ Draft an analysis of the candidate's performance in teaching, scholarship and service to  
31 provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent  
32 evidence in the case, where possible. The committee neither votes on cases nor takes a  
33 position in presenting its analysis of the record.  
34
  - 35 ○ Revise the draft analysis of each case following the faculty meeting, to include the  
36 faculty vote and a summary of the faculty perspectives expressed during the meeting; and  
37 forward the completed written evaluation and recommendation to the department chair.  
38
  - 39 ○ Provide a written response, on behalf of the eligible faculty, to any candidate comments  
40 that warrant response, for inclusion in the dossier.  
41
  - 42 ○ Provide a written evaluation and recommendation to the department chair in the case of  
43 joint appointees whose tenure-initiating unit is another department. The full eligible  
44 faculty does not vote on these cases since the department's recommendation must be  
45 provided to the other tenure-initiating unit substantially earlier than the committee begins  
46 meeting on this department's cases.  
47

### 48 **3 Eligible Faculty Responsibilities**

49 The responsibilities of the members of the eligible faculty are as follows:  
50

- 1
- 2 • To review thoroughly and objectively every candidate's dossier in advance of the meeting at
- 3 which the candidate's case will be discussed.
- 4
- 5 • To attend all eligible faculty meetings except when circumstances beyond one's control prevent
- 6 attendance; to participate in discussion of every case; and to vote.
- 7

#### 8 **4 Department Chair Responsibilities**

9

10 The responsibilities of the department chair are as follows:

11

- 12 • Where relevant, to verify the prospective candidate's residency status. Faculty members who are
- 13 neither citizens nor permanent residents of the United States may not undergo a non-mandatory
- 14 review for tenure, and tenure will not be awarded as the result of a mandatory review until
- 15 permanent residency status is established. Faculty members not eligible for tenure due to lack of
- 16 citizenship or permanent residency are moreover not considered for promotion by this
- 17 department.
- 18
- 19 • **Late Spring Semester:** To solicit external evaluations from a list including names suggested by
- 20 the Promotion and Tenure Committee, the chair and the candidate. (Also see External
- 21 Evaluations below.)
- 22
- 23 • To make adequate copies of each candidate's dossier available in an accessible place for review
- 24 by the eligible faculty at least two weeks before the meeting at which specific cases are to be
- 25 discussed and voted.
- 26
- 27 • To remove any member of the eligible faculty from the review of a candidate when the member
- 28 has a conflict of interest but does not voluntarily withdraw from the review.
- 29
- 30 • To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed
- 31 and respond to questions raised during the meeting.
- 32
- 33 • **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for
- 34 each candidate, following receipt of the eligible faculty's completed evaluation and
- 35 recommendation.
- 36
- 37 • To meet with the eligible faculty to explain any recommendations contrary to the
- 38 recommendation of the committee.
- 39
- 40 • To inform each candidate in writing after completion of the department review process:
- 41
  - 42 ○ of the recommendations by the eligible faculty and department chair
  - 43
  - 44 ○ of the availability for review of the written evaluations by the eligible faculty and
  - 45 department chair
  - 46
  - 47 ○ of the opportunity to submit written comments on the above material, within ten days
  - 48 from receipt of the letter from the department chair, for inclusion in the dossier. The letter
  - 49 is accompanied by a form that the candidate returns to the department chair, indicating
  - 50 whether or not he or she expects to submit comments.

- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
- To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure-initiating unit by the date requested.

## **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 department chair, 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 faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a clinical faculty member will be made by the department chair after consulting with the candidate and the chair of the Promotion and Tenure Committee.

A minimum of five credible and useful evaluations must be obtained. A credible and useful evaluation:

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

Since the department cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of the spring

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1 semester prior to the review year. This timing allows additional letters to be requested should fewer than  
2 five useful letters result from the first round of requests.

3  
4 As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee,  
5 the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for  
6 credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that  
7 no more than half the external evaluation letters in the dossier be written by persons suggested by the  
8 candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the  
9 Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators  
10 suggested by the candidate.

11  
12 The department follows the Office of Academic Affairs [suggested format](#) for letters requesting external  
13 evaluations.

14  
15 Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with  
16 external evaluators for any purpose related to the promotion review. If an external evaluator should  
17 initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such  
18 communication is inappropriate and report the occurrence to the department chair, who will decide what,  
19 if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that  
20 letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural  
21 lapse, or the appearance of such a lapse, in the course of the review process.

22  
23 All solicited external evaluation letters that are received must be included in the dossier. If concerns arise  
24 about any of the letters received, these concerns may be addressed in the department's written evaluations  
25 or brought to the attention of the Office of Academic Affairs for advice.

## 26 27 **C Documentation**

28  
29 As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate  
30 dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure  
31 Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate  
32 bears full responsibility for all parts of the dossier that are to be completed by the candidate.

33  
34 The complete dossier, including the documentation of teaching noted below, is forwarded when the  
35 review moves beyond the department. The documentation of scholarship and service noted below is for  
36 use during the department review only, unless reviewers at the college and university levels specifically  
37 request it.

- 38  
39 • Any published materials presented for consideration should be in the form of reprints,  
40 photocopies of journal articles, or other final form that documents actual publication. An author's  
41 manuscript does not document publication.
- 42  
43 • Under no circumstances should faculty solicit evaluations from any party for purposes of the  
44 review.

## 45 46 **1 Teaching**

47  
48 The time period for material included in the dossier for probationary faculty is the date of hire to present.  
49 For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is  
50 less, to present. Examples of documentation include:

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

- cumulative eSEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class
- peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details, including number, provided in Section X below)
- copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- teaching activities as listed in the core dossier including
  - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
  - mentoring postdoctoral scholars and researchers
  - extension and continuing education instruction
  - involvement in curriculum development
  - awards and formal recognition of teaching
  - presentations on pedagogy and teaching at national and international conferences
  - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate

## 2 Scholarship

Recognizing that scholarship is a process of growth, candidates may include materials in this section from throughout their career. While all scholarly/creative works can be listed, the primary time period for review in the dossier for probationary faculty is the date of hire to present; and for tenured or nonprobationary faculty, it is the date of last promotion to present. Examples of documentation include:

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

## 3 Service

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

- service activities as listed in the core dossier including
  - involvement with professional journals and professional societies
  - consultation activity with industry, education, or government

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

- 1           ○ clinical services
- 2           ○ administrative service to department
- 3           ○ administrative service to college
- 4           ○ administrative service to university and Student Life
- 5           ○ advising to student groups and organizations
- 6           ○ awards and prizes for service to profession, university, or department
- 7       • any available documentation (e.g. letters from committee chairs) of the quality of service that
- 8       enhances the list of service activities in the dossier

## 10 **VIII Appeals**

11  
12 Faculty Rule [3335-6-05](#) sets forth general criteria for appeals of negative promotion and tenure  
13 decisions. Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05](#).

14  
15 Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the faculty  
16 member is required to document the failure of one or more parties to the review process to follow written  
17 policies and procedures.

## 18 **IX Seventh-Year Reviews**

19  
20 Faculty Rule [3335-6-05](#) sets forth the conditions of and procedures for a Seventh-Year Review for a  
21 faculty member denied tenure as a result of a sixth-year (mandatory tenure) review.

## 22 **X Procedures for Student and Peer Evaluation of Teaching**

### 23 **A Student Evaluation of Teaching**

24  
25 Use of the Student Evaluation of Instruction (eSEI) is required in every course offered in this department.  
26 (*Units using other evaluation tools instead of the eSEI should describe them here.*) Faculty members  
27 should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-  
28 class time for students to complete the evaluation using a mobile application. The faculty member must  
29 leave the classroom during the time allotted for completing the evaluation. The faculty member should  
30 reiterate to students that the feedback provided in the evaluations is used both for performance reviews  
31 and to provide feedback that can be taken into account in future teaching.

32  
33 *Include language on additional discursive evaluative instruments and processes for collecting them if*  
34 *your department requires or recommends them.*

### 35 **B Peer Evaluation of Teaching**

36  
37 The department chair oversees the department's peer evaluation of teaching process.

38  
39 Annually the department chair appoints a Peer Review of Teaching Committee of a size judged sufficient  
40 to meet the volume of peer review activity expected that year, without overburdening any of the members.  
41 The term of service is one year, with reappointment possible. Reasonable efforts are made to distribute  
42 service among the tenured faculty from year to year in order to support and encourage attention to the  
43 quality of teaching in the department. Although there is no presumption that a peer reviewer must be of  
44 equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent  
45 possible.

46  
47  
48  
49  
50



*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

*The numbers below are illustrative only. There is no university policy on the specific number of peer reviews that should be conducted, but departments 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 first two years of service, and at least twice more before the commencement of the mandatory tenure review, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned
- to review the teaching of tenured associate professors and nonprobationary associate professors of clinical XXX at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six year period and of having at least two peer reviews of teaching before the commencement of a promotion review
- to review the teaching of tenured professors and nonprobationary professors of clinical XXX at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the [University Center for the Advancement of Teaching](#).

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

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

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

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

1 copied to the candidate. The candidate may provide written comments on this report and the reviewer  
2 may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.  
3

4 *The suggested process above could be supplemented by departmental guidelines for peer reviewers to*  
5 *use. Such guidelines should distinguish between reviews that are formative (provided as feedback to the*  
6 *faculty member instructing the course) and those that are evaluative (used in promotion reviews and*  
7 *performance reviews).. The [University Center for the Advancement of Teaching](#) offers assistance in such*  
8 *endeavors.*  
9

10

Sample APT Document



*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

**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

[http://senate.osu.edu/?page\\_id=183](http://senate.osu.edu/?page_id=183)

**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>

**Guide to Effective Searches:** <https://hr.osu.edu/?s=guide+to+effective+searches> (requires log in)

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

**Office of Academic Affairs Governance Documents Webpage:** <http://oaa.osu.edu/governance>

**Office of Academic Affairs *Policies and Procedures Handbook*:** <http://oaa.osu.edu/handbook.html>

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

*Sample document only, revised 07/20/17. See OAA [Policies and Procedures Handbook](#) for guidelines/instructions.*

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

**Office of Human Resources Employment Services:** [www.hr.osu.edu/](http://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:** <http://orc.osu.edu/files/Policy-on-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 Special Assignment:** <https://oaa.osu.edu/assets/files/documents/specialassignment.pdf>

**Rules of the University Faculty:** <https://trustees.osu.edu/index.php?q=university/facultyrules>

**Sample Letter Requesting External Evaluation:** <http://oaa.osu.edu/sampledocuments.html>

**University Center for the Advancement of Teaching:** [www.ucat.osu.edu](http://www.ucat.osu.edu)