

**Appointments, Promotion, and  
Tenure  
Criteria and Procedures for  
The Ohio State University  
Agricultural Technical Institute in  
the College of Food, Agricultural,  
and Environmental Sciences**

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## **I Preamble**

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty; the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policies and Procedures Handbook; and other policies and procedures of the College of Food, Agricultural, and Environmental Sciences (CFAES) and The Ohio State University to which The Ohio State University Agricultural Technical Institute (Ohio State ATI) and its faculty are subject.

Should those rules and policies change, the Ohio State ATI 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 Ohio State ATI director.

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 Ohio State ATI 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 Ohio State ATI and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to Ohio State ATI 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 Ohio State ATI and the 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 Ohio State ATI Mission**

The mission of Ohio State ATI is to develop high quality technical competency through our educational endeavors in programs leading to degrees in agriculture, horticulture, environmental sciences, business, and engineering technology. We aspire to provide accessible, high-quality, applied educational experiences leading to associate of science and associate of applied science degrees and certificates.

## **III Definitions**

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

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

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

## **1 Tenure-track Faculty**

### **Initial Appointment Reviews**

- For an appointment of an assistant professor, Ohio State ATI relies on search committee recommendations to the director, with the final decision on hiring resting with the director.
- For appointment at senior rank (associate professor or professor), Ohio State ATI relies on search committee recommendations to the director and a vote cast by all tenured faculty of equal or higher rank than the position requested, with the final decision on hiring resting with the director.

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

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

## **2 Professional Practice Faculty**

### **Initial Appointment Reviews**

- For an appointment review of a professional practice assistant professor, Ohio State ATI relies on search committee recommendations to the director, with the final decision on hiring resting with the director.
- For appointment (hiring) at senior rank (professional practice associate professor or professor), Ohio State ATI relies on search committee recommendations to the director and a vote cast by all tenured faculty of equal or higher rank than the position requested, and all nonprobationary professional practice faculty of equal or higher rank than the position requested, with the final decision on hiring resting with the director.

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

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

### **3 Conflict of Interest**

#### **Search Committee**

There are two types of conflict of interest in a search committee. Below are definitions and expectations for how each conflict will be handled in Ohio State ATI.

- A member of a search committee must disclose to the committee and refrain from further participation in any of the interviews, meetings, or votes that comprise the process if the member:
  - is related to or has a close interpersonal relationship with a candidate
  - is the supervisor (excluding the director) or subordinate of a candidate or
  - herself/himself decides to apply for the position.
  
- A member of a search committee must disclose to the committee and refrain from participating in search committee activities involving a candidate, if the member:
  - has substantive financial ties with the candidate
  - is dependent in some way on the candidate's services
  - has a close professional relationship with the candidate (e.g., dissertation advisor) or
  - has collaborated extensively with the candidate or is currently collaborating with a candidate.

#### **Eligible Faculty**

A conflict of interest exists when an eligible faculty is or has been to the candidate:

- a thesis, dissertation, or postdoctoral advisee/advisor
- a co-author on more than 25% of publications since appointment or last promotion, including pending publications and submissions
- a collaborator on more than 25% of projects since appointment or last promotion, including current and planned collaborations
- in a consulting/financial arrangement since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services)
- in a family relationship such as a spouse, child, sibling, or parent, or other relationship, such as a close personal friendship, that might affect one's judgment or be seen as doing so by a reasonable person familiar with the relationship.

Such faculty members will be expected to withdraw from an appointment or promotion review of that candidate.

### **4 Minimum Composition**

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

## **B Promotion and Tenure Committee**

Ohio State ATI has a Promotion and Tenure Committee that assists the Committee of Eligible Faculty in managing the personnel and promotion and tenure issues. The committee consists of five tenured faculty members, one from each division and two at large, with a minimum of one professor. The members will elect a chair annually. The term of service is three years, with reappointment possible, and staggered. When considering cases involving professional practice faculty the Promotion and Tenure Committee may be augmented by one nonprobationary professional practice faculty member. To avoid real or perceived impropriety of positional power, division chairs and the assistant directors are not permitted to serve on this committee.

## **C Quorum**

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. Faculty on approved leave of absences may not participate in personnel decisions including promotion and tenure reviews.

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

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

The eligible faculty committee will review and discuss the dossier of each candidate before conducting a secret ballot at the meeting. In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are not votes. Faculty members are strongly encouraged to consider whether they are participating fully in the review process when abstaining from a vote on a personnel matter.

Absentee ballots and proxy votes are not permitted. Participating fully in discussions and voting via remote two-way electronic connection are allowed.

### **1 Appointment at Associate Professor or Professor**

A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the votes cast are positive, with the final decision on hiring resting with the director.

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

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when two-thirds of the votes cast are positive.

## **IV Appointments**

### **A Criteria**

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

would enhance the quality of Ohio State ATI. The search is either cancelled or continued, as appropriate to the circumstances.

Faculty must possess an academic degree relevant to what they are teaching and at least one level above the level at which they teach. When faculty are employed based on equivalent experience, the institution defines a minimum threshold of experience and an evaluation process that is used in the appointment process. See the Office of Academic Affairs *Policies and Procedures Handbook*, Volume 1, Chapter 1, 2.3.1.

## **1 Tenure-track Faculty**

Because the mission of Ohio State ATI emphasizes undergraduate instruction, the criteria for appointment at the rank of assistant professor, associate professor, or professor are similar to those for the college faculty but give relatively greater emphasis at each rank to teaching experience and quality.

**Assistant Professor.** A master's degree with at least 3 years of industry or higher education experience is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to Ohio State ATI and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. For individuals not recommended for promotion and tenure after the mandatory review, the 7<sup>th</sup> year will be the final year of employment.

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

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

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

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

## 2 Professional Practice Faculty

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

**Assistant Professor Professional Practice.** An earned doctorate and the required licensure/certification in his or her specialty are the minimum requirements for appointment at the rank of assistant professor of professional practice Ohio State ATI. Evidence of ability to teach is highly desirable.

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

## 3 Associated Faculty

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

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

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

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

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE)

or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

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

#### **4 Emeritus Faculty**

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

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

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

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

#### **5 Courtesy Appointments for Faculty**

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

#### **B Procedures**

See the Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments in the Office of Academic Affairs *Policies and Procedures Handbook* for information on the following topics:

- recruitment of tenure-track, professional practice, and research faculty
- appointments at senior rank or with prior service credit
- hiring faculty from other institutions after April 30
- appointment of foreign nationals
- letters of offer

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

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

Searches for tenure-track faculty proceed as follows:

The director, in consultation with the faculty, determines the need for a tenure-track faculty member based on existing unit strengths and/or gaps. The college requires documentation of all particulars relative to a position by means of the CFAES position request form, available from the dean or designee. The position request form, and any accompanying documentation demonstrating institute, college, and university strategic alignment of the position must be submitted to the dean or designee before the position will be approved.

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

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

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

The search committee:

- Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.
- Develops a search announcement for internal posting in the university Job Postings through the Office of Human Resources and external advertising, subject to the director's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, and salary. In addition, timing for the receipt of applications

will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.

- Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must advertise using at least one 30-day online ad in a national professional journal. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific nationally prominent professional journal.
- Screens applications and letters of recommendation and presents to the full faculty a summary of those applicants (usually three to five) judged worthy of interview. If the faculty agrees with this judgment, on-campus interviews are arranged by the search committee chair, assisted by the director's office. If the faculty does not agree, the director in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

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

Following completion of on-campus interviews, the search committee meets to discuss perceptions and preferences of each candidate. The search committee reports the strengths and weakness of each candidate to the director.

If the offer involves senior rank, the eligible faculty members vote on the candidates and also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on each candidate and on the appropriateness of the proposed rank or the appropriateness of prior service credit to the director. Appointment offers at the rank of Associate Professor or Professor, with or without tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

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

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

## **2 Professional Practice Faculty**

Searches for professional practice faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview is on

professional practice rather than scholarship, and exceptions to a national search require approval only by the college dean.

### **3 Transfer from the Tenure Track**

Tenure-track faculty may transfer to a professional practice appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the director, the college dean, and the executive vice president and provost.

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

Transfers from a professional practice appointment to the tenure track are not permitted. Professional practice faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

### **4 Associated Faculty**

The appointment, review, and reappointment of all compensated associated faculty are decided by the director in consultation with the assistant directors and division chairs.

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

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in Ohio State ATI and are decided by the director in consultation with the assistant directors and division chairs.

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

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

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

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

### **5 Courtesy Appointments for Faculty**

Any Ohio State ATI faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track or professional practice faculty member from another Ohio State tenure-initiating unit. A proposal that describes the uncompensated academic service to this Ohio State ATI justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the director extends an offer of appointment. The director reviews all courtesy

appointments every three years to determine whether they continue to be justified and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

## **V Annual Performance and Merit Review**

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

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

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

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

### **A Documentation**

For their annual performance and merit review, faculty members must submit the following documents to the director no later than February 1:

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

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

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

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

## **B Probationary Tenure-track Faculty**

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

The relevant division chair and institute director will have a “face-to-face” meeting with the probationary faculty member as required as part of the annual review for every faculty member in the institute. The institute director will develop an annual performance review letter for each probationary faculty. If there is feedback on accuracy and content of the letter from the probationary faculty member, this will be considered by the director. The performance of every probationary tenure track faculty member is also reviewed annually by the promotion and tenure committee, and the faculty member will receive feedback from the promotion and tenure committee and the institute director’s letter. The faculty member will have the opportunity to respond with comments and is required to provide their signature on the director’s letter indicating they received the letter.

If the director recommends renewal of the appointment, this recommendation is final. The director’s annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The director’s letter (along with the faculty member’s comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member’s comments).

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

### **1 Fourth-Year Review**

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review (see section VI B), with the exception that external evaluations are optional and the dean makes the final decision regarding renewal or nonrenewal of the probationary appointment.

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

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

The chair of the promotion and tenure committee forwards a written performance review, record of the vote of the eligible faculty, and summary of the meeting to the director, who conducts an independent assessment of performance and prepares a written evaluation that includes a

recommendation on whether to renew the probationary appointment. At the conclusion of the Ohio State ATI review, the formal comments process (per Faculty Rule [3335-6-04](#)) is followed and the case is forwarded to the college for review, regardless of whether the TIU head recommends renewal or nonrenewal.

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

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

## **C Tenured Faculty**

Associate professors are reviewed annually by the director. The director and division chair conduct an independent assessment. The director will offer to meet with the faculty members to discuss their performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

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

If an associate professor or professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The director prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

## **D Professional Practice Faculty**

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

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

Ohio State ATI may determine the process for reappointment according to the procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). There is no presumption of renewal of appointment.

## **E Associated Faculty**

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

Compensated associated faculty members on a multiple year appointment are reviewed annually by the division chair who prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the division chair and director will decide whether or not to reappoint. Their recommendation on reappointment is final.

## **F Salary Recommendations**

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

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

Meritorious performance in teaching (including extension teaching), research, and service is assessed in accordance with the same criteria that form the basis for promotion decisions, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

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

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

Faculty who fail to submit the required documentation (see Section V-A above) for an annual performance and merit review at the required time will receive no salary increase in the year for which documentation was not provided, except in extenuating circumstances, and may not expect to recoup the foregone raise at a later time.

## **VI Promotion and Tenure and Promotion Reviews**

### **A Criteria and Documentation**

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

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

### **Teaching**

Teaching excellence is fundamental to the mission of the Ohio State ATI and CFAES. All faculty are expected to display outstanding commitment to and demonstrated performance in enhancing the learning of our students.

It is expected that every faculty member abides by university rules that require students in every class to be afforded a formal opportunity to provide feedback on the quality of instruction they have received. Faculty must use the Student Evaluation of Instruction (SEI) reports. SEIs may be augmented with instructor designed instruments. All faculty are to receive systematic peer review (see IX B).

Among other areas of assessment, Ohio State ATI faculty will be assessed on the following dimensions of teaching effectiveness (credit generating instruction and outreach instruction):

- mastery of the subject matter
- continuous growth in subject matter knowledge
- ability to organize and communicate class material with logic, conviction, enthusiasm, and objectivity
- contributions to curricula or program development
- creativity in course or program development, methods of presentation and incorporation of new materials and ideas
- capacity to enhance students' awareness of the relationship between subjects studied, important problems, and other fields of knowledge
- advising undergraduates, graduate students and extension clientele

- directing graduate and undergraduate research programs.

### **Scholarship**

Faculty must demonstrate clear excellence in research. The nature and extent of their contribution will be commensurate with their assigned responsibilities. Hence, the nature and scope of scholarly output may vary. However, research scholarship must be adequate for the expectations assigned and, above all, of sufficiently high quality to indicate excellent performance.

Excellence is indicated by the validation of work by peers, particularly in settings where peer reviewers and editors decline to publish all submissions due to competition for limited publication space. Typical sources of such validation include publication in peer-reviewed journals, acceptance of peer reviewed papers, publications of scholarly books, publication of peer-reviewed extension publications, awarding of peer-reviewed grants, invited presentations, patents awarded and prestigious awards received. Recognition will also be given to non-traditional kinds of research scholarship when it is validated by peers and shared with others. In such cases, it is incumbent on the candidate to document the quality indicators of such contributions.

Ohio State ATI values interdisciplinary and team-based scholarship. Such contributions will be recognized. Faculty must document the nature and extent of their contributions in the context of the total team so that colleagues can accurately value their individual contribution to the outcome of the group.

### **Service**

All faculty members are expected to contribute actively to the governance of Ohio State ATI, the college and the university. Service activities include serving on such committees as the director, VP/Dean, provost or president may assign as well as committees to which one has been elected by his/her colleagues; serving in supportive administrative roles such as program direction, when asked; serving the profession through such activities as service as an officer on the board of a professional organization or journal (including editor roles), or participation in organizing a symposium; representing the university in service to the nonacademic community; serving in special roles in the community by extension personnel such as with commodity groups, community development groups, youth support groups, etc. When a candidate shows special ability in service, it should be part of the consideration during tenure review, but such special ability will not relieve the candidate of demonstrating excellence in teaching and research.

In addition, all members of the CFAES faculty are encouraged to display civility, to model constructive cooperation and collaboration among colleagues and staff, and to foster classroom, lab, and office communities where people are encouraged to be critical of ideas, but respectful of one another. Civil behavior is conducive to our mission and consistent with the academic responsibilities outlined in Faculty Rule [3335-5-01](#).

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

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

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

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

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

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

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

- **Teaching**

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

- provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge
- demonstrated the ability to organize and present material effectively with logic, conviction, and enthusiasm
- demonstrated creativity in the use of various modes of instruction, instructional technology, and other teaching strategies to create an optimal learning environment
- engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process
- provided appropriate and timely feedback to students throughout the instructional process
- treated students with respect and courtesy
- improved curriculum through revision or new development of courses and/or academic programs
- served as advisor to an appropriate number of undergraduate students given the student/faculty ratio and area(s) of expertise
- engaged in documentable efforts to improve teaching

- **Research**

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

- published a body of work in high-quality peer-reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others.
- The following attributes of the body of work are considered:
  - quality, impact, quantity, originality
  - unique contribution to a line of inquiry or repackaging of earlier work

- rigor of the peer-review process and degree of dissemination of publication venues (archival journal publications and monographs are weighted more heavily than conference proceedings, published scholarship more than unpublished scholarship, and original works more than edited works)
    - collaborative work, including interdisciplinary and team-based research, is valued, and indeed is essential to some types of inquiry. The candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
  - a demonstrated ability to obtain and potential to sustain research program funding sufficient to sustain the effectiveness of the candidate's research program.
  - a developing regional/national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.
  - a demonstrated high degree of ethics in the conduct of research including, but not limited to, full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.
- **Service**

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

    - Substantive focus on fostering interdependent relationships in enhancing collegiality at Ohio State ATI and beyond, so as to improve productivity in programmatic endeavors
    - Contributions to the orderly functioning of the institute, college, and university
    - Contributions to the profession
    - Contributions to the community at large

## **2 Promotion to Professor**

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

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

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

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

In addition, as further specified by Faculty Rule 3335-6-02, assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another. Promotion should reflect the reality that (a) not all faculty members have the same distribution of assignments (b) not all faculty members will be able to contribute excellence equally in all evaluation dimensions; and (c) there is a multi-faceted institutional responsibility that must be achieved by the skills of the faculty collectively. Promotion to professor should be awarded not only to those faculty who have demonstrated impact in their scholarship of research and creative inquiry, teaching and learning, and service, but also to those who have exhibited excellence in the scholarship of leadership to make visible and demonstrable impact upon the mission of Ohio State ATI, college, and university.

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

### **3 Professional Practice Faculty**

**Promotion to Associate Professor of Professional Practice.** For promotion to associate professor of professional practice, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; must have a documented high level of competence in professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of Ohio State ATI. Specific criteria in teaching and service for promotion to associate professor of professional practice are similar to those for promotion to associate professor with tenure.

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

## **B Procedures**

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

### **1 Candidate Responsibilities**

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates are fully responsible for the contents of the dossier and should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.
- To submit a copy of the APT document under which the candidate wishes to be reviewed. Candidates may submit Ohio State ATI's current APT document; or, alternatively, they may

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

- To review the list of potential external evaluators developed by the director and the Promotion and Tenure Committee. The candidate may add no more than three additional names but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The director decides whether removal is justified. (Also see External Evaluations below.) Under no circumstances should a candidate solicit evaluations from any party for purposes of the review.

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

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
  - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
  - A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 for one year. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful.
  - Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the director that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by Ohio State ATI.
  - A decision by the committee to permit a review to take place in no way commits the eligible faculty, the director, or any other party to the review to making a positive recommendation during the review itself.

- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
  - **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The responsibilities of the POD are described in Volume 3 of the Office of Academic Affairs Policies and Procedures Handbook, and summarized in the POD Duties document.
  - **Late Spring:** Suggest names of external evaluators to the director.
  - **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
  - Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
  - Draft an analysis of the candidate's performance in teaching, scholarship, and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
  - Revise the draft analysis of each case following the meeting of the full eligible faculty, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the director.
  - Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
  - Provide a written evaluation and recommendation to the director in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases since Ohio State ATI's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on Ohio State ATI's cases.

### **3 Eligible Faculty Committee Responsibilities**

The responsibilities of the members of the Eligible Faculty Committee are as follows:

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

### **4 Director Responsibilities**

The responsibilities of the director are as follows:

- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by Ohio State ATI.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the director, and the candidate. (Also see External Evaluations below.)
- To solicit an evaluation from a TIU head of any TIU in which the candidate has a joint appointment.
- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. The director will leave the meeting to allow open discussion among the eligible faculty members.
- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the Ohio State ATI review process:
  - of the recommendations by the eligible faculty and director
  - of the availability for review of the written evaluations by the eligible faculty and director
  - of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the director, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the director, indicating whether or not he or she expects to submit comments.
- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.

- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the director recommends against promotion. A negative recommendation by the director is final in such cases.
- To receive the eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with the director's independent written evaluation and recommendation, to the TIU head of the other tenure-initiating unit by the date requested.

## 5 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 and all adjunct faculty promotion reviews in cases where an adjunct faculty member has been involved in a significant amount of scholarship. External evaluations of scholarly activity and research are not obtained for professional practice faculty unless the faculty member has been involved in a significant amount of scholarship. The decision to seek external evaluations for a professional practice faculty member will be made by the director after consulting with the candidate and the chair of the promotion and tenure committee.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, 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. Ohio State ATI will solicit evaluations only from professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.
- 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 director cannot control who agrees to write and/or the usefulness of the letters received, more letters are sought than are required, and they are solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

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

Ohio State ATI follows the Office of Academic Affairs suggested format for letters requesting external evaluations.

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

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

## **6 Dossier**

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

The time period for teaching documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or nonprobationary faculty it is the date of last promotion or the last five years, whichever is less, to present. Examples of documentation are presented in the OAA Handbook, Volume 3, Section 4.1.2.4.

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

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

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

## **VII Appeals**

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

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

### **VIII Seventh-Year Reviews**

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

### **IX Procedures for Student and Peer Evaluation of Teaching**

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

Use of the SEI is required in every course offered in Ohio State ATI. Faculty members should choose a day late in the semester when attendance is likely to be high if s/he is going to provide in-class time for students to complete the evaluation using a mobile application. The faculty member must leave the classroom during the time allotted for completing the evaluation. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

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

The director oversees Ohio State ATI 's peer evaluation of teaching process.

Promotion and Tenure Committee is responsible for peer review of teaching with duties as follows:

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

seeking formative reviews should also seek the services of the Drake Institute for Teaching and Learning.

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

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

In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on such issues as the appropriateness of the course design given the goals and level of the course, the quality and effectiveness of the instructional materials and assessment tools, and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer meets with the candidate to give feedback and also submits a written report to the director, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if he/she wishes. The reports are included in the candidate's promotion and tenure dossier.