**Appointments, Promotion, and Tenure Document**

**for Regional Campuses**

**Information and Instructions for Required Outline**

The development or revision of the Appointments, Promotion, and Tenure (APT) document provides an opportunity for a regional campus to consider:

* its mission in the context of the university’s mission;
* the quality of its programs and its standing among comparable units in peer institutions;
* how the mission and program quality affect faculty appointments, advancement, and reward; and
* if the current document meets the faculty outcomes expected.

The document should communicate campus goals in a way that is clear both within and beyond the campus and should state explicitly the qualities sought by the campus in new faculty and the expectations held for currently appointed faculty.

Requirements identified in Office of Academic Affairs (OAA) governance documents take precedence over regional campus documents, except in the case where a campus wishes to have MORE requirements.

The APT is to refer to and be consistent with the University Faculty Rules. It is inadvisable to quote rules extensively, given that such passages will not reflect later revisions to the Rules. In place of quoted material, cite the relevant Rule number and embed the web address within the citation to comply with accessibility guidelines. If quoting from the rules is deemed essential, please clearly demarcate the quotation (indent and/or italicize).

The APT must include a cover page with regional campus name and date reviewed by the faculty. Include a table of contents and paginate the APT. OAA encourages campuses to make their APT documents available on their websites and to retain copies for 10 years. OAA maintains a digital collection of current governance documents on its own [website](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure). Note that the officially approved version of the document is the one posted on the OAA website.

The required outline in the accompanying APT guideline document provides actual content and language that could be adopted in its present form or modified to better suit the particular needs of a campus. The content and language are based on university rules and policies as well as on common practices that work well broadly. Because a common format is needed to facilitate reference to APT documents by promotion and tenure reviewing bodies, regional campuses are to follow the required outline, except for sections that do not pertain to them (e.g., those that do not appoint clinical/teaching/professional practice or research faculty do not need to include information relevant to those appointments).

Include current references to all university titles, rules, policies, offices, and entities. Web addresses should be embedded to comply with accessibility guidelines. See the [Policies and Procedures Handbook](https://oaa.osu.edu/policies-and-procedures-handbook), Chapter 1, Section 3.0: Updating Obsolete Material, for a summary of commonly found obsolete references that must be corrected before governance documents are submitted for review.

Items in red italicized text in the accompanying APT guideline document are notes and comments; they should not appear in a campus’s APT.

*The sections that follow are numbered according to the corresponding sections in the accompanying APT guideline document and are linked to them.*

### **I** [**Preamble**](#_I_Preamble_1)

Explain the document’s purpose and its relationship to other documents that contain promotion and tenure policies and procedures.

# II [Campus mission](#CampusMission)

Include the campus’s mission. This statement must also appear in the campus’s POA document. This is the only example of duplicated material in the two documents; the language must be identical in both.

### **III** [**Definitions**](#Definitions)

### **A** [**Eligible faculty**](#EligibleFaculty)

For faculty recommendations on initial appointment, the faculty eligible to vote includes assistant professors. A second review and vote are taken when an appointment at senior rank is under consideration. Advanced-rank faculty under consideration, regardless of appointment type (tenure-track, clinical/teaching/professional practice, research, associated), may be reviewed only by faculty of the rank at or above consideration (associate and professor for associate, and professor for professor). All votes are advisory to the dean and director, who consults with the appropriate TIU head.

# 1 [Tenure-track faculty](#TenuretracFaculty)

Faculty Rule [3335-6-04](https://trustees.osu.edu/bylaws-and-rules/3335-6)(B)(1) states that “eligible faculty are tenured faculty of higher rank than the candidate excluding the tenure initiating unit chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.”

# 2 [Clinical/teaching/professional practice faculty](#CTPFaculty)

Clinical/teaching/professional practice faculty may not participate in the promotion and tenure reviews of tenure-track faculty (see Faculty Rule [3335-7-04](https://trustees.osu.edu/bylaws-and-rules/3335-7)(A)) or the promotion or reappointment reviews for research faculty. Clinical/teaching/professional practice faculty may vote in the appointment, reappointment, and promotion reviews of clinical/teaching/professional practice faculty and associated faculty, and the initial appointment of research faculty.

# 3 [Research faculty](#ResearchFaculty)

Research faculty may not participate in the promotion and tenure reviews of tenure-track faculty or the promotion or reappointment reviews of clinical/teaching/professional practice faculty (See Faculty Rule [3335-7-37](https://trustees.osu.edu/bylaws-and-rules/3335-7)). Research faculty may vote in the appointment, reappointment, and promotion reviews of research faculty and associated faculty, and the initial appointment of clinical/teaching/professional practice faculty.

# 4 [Associated faculty](#AssociatedFaculty)

# Associated faculty may not participate in the appointment, promotion, or tenure reviews of tenure-track faculty or the appointment and promotion reviews of clinical/teaching/professional practice or research faculty (see Faculty Rule [3335-7-37](https://trustees.osu.edu/bylaws-and-rules/3335-7)). Regional campus APTs must include their procedures for the initial appointment, reappointment, and promotion reviews of associated faculty.

# 5 [Conflict of interest](#Conflict)

* **Search committee conflict of interest**

The accompanying APT guideline document contains language describing the circumstances under which a member of a search committee must refrain from participation in the search. That language should be included in campus’s APT.

* **Eligible faculty conflict of interest**

Prior to the start of a review process, all eligible faculty must be asked to indicate any conflicts to the dean and director. Members of the eligible faculty with a conflict of interest must recuse themselves from the review process. The accompanying APT guideline document contains recommended conflict of interest language. When there is a question about potential conflicts, the dean and director shall determine whether it is appropriate for the faculty members to recuse themselves from a particular review. Based on that determination, faculty members with a conflict of interest who do not voluntarily recuse themselves will be removed by the dean and director.

### **B** [**Promotion and tenure committee**](#_B._Promotion_and)

Regional campuses may choose to have a Promotion and Tenure (P&T) Committee (a subset of the committee of the eligible faculty) that assists the eligible faculty in managing the personnel and promotion and tenure issues of the campus. The campus may determine how the committee chair is selected, whether by appointment or election. The committee’s membership and term of service should be indicated.

### **C** [**Quorum**](#_C._Quorum)

A quorum is the required number of members present at a meeting for official action to occur. This includes taking a vote. To conduct business, most units require a majority of eligible faculty on duty in a given semester to be present. Others require a super-majority, typically two-thirds, while others require less than a majority such as 20% or 25%. OAA recommends that a quorum of two-thirds be required for a vote to be valid.

# D [Recommendation from the eligible faculty](#_D._Recommendation_from)

Faculty who do not attend the entire discussion of a particular case are not permitted to vote on that case. Faculty members who are not present cannot vote *in absentia* unless they participate by conference call or video link for the entire discussion.

OAA strongly recommends that all votes be cast by secret ballot. Votes must be cast prior to the meeting adjournment.

A vote is defined as a “yes” or “no” vote. Abstentions are not votes according to Robert’s Rules of Order. An abstention indicates that an individual does not wish to go on the record with a position. As such, abstentions are not counted as votes but are counted when determining a quorum. When calling for a voice vote, the dean and director should not call for abstentions as this would force the individual to go on record. In paper balloting, a blank ballot, a ballot with “abstain” written on it, and a ballot that is not returned are all the same. Only votes that are cast (aye/nay, yes/no, for/against) are counted. In the case of appointments, promotion, tenure, and reappointment votes, the Office of Academic Affairs strongly encourages that abstentions be excluded as an option. If a member of the eligible faculty feels they cannot vote for or against a candidate, they should not participate in the discussion and vote. If they are abstaining due to a believed conflict of interest, they should instead recuse themselves and not participate in the discussion or vote.

This section of the APT identifies the required vote needed for a positive recommendation from the eligible faculty.

# 1 [Appointment](#_1._Appointment)

State here the majority required for approving an appointment.

# 2 [Reappointment, promotion and tenure, and promotion](#_2._Reappointment,_Promotion)

State here the majority required for approving reappointment, promotion and tenure, and promotion actions.

In accordance with Robert’s Rules, OAA endorses the following options for establishing the majority required for approving all such actions.

Majority: Approval requires at least more than half of the votes cast to be in the affirmative.

Two-thirds majority: Approval requires at least two-thirds of the votes cast to be in the affirmative.

The table below contains examples based on a membership of 100, only a quorum in attendance, and five abstentions. The table indicates the fewest number of votes needed for approving a motion (with the vote breakdown presented in parentheses).

|  |  |  |  |
| --- | --- | --- | --- |
| **Quorum** | **25% Present** | **Majority Present** | **2/3 Present** |
| **# to attain quorum** | 25 | 51 | 67 |
| **Majority** | 11 (11 Y, 9 N, 5 A) | 24 (24 Y, 22 N, 5 A) | 32 (32 Y, 30 N, 5 A) |
| **2/3 Vote** | 14 (14 Y, 6 N, 5 A) | 31 (31 Y, 15 N, 5 A) | 42 (42 Y, 20 N, 5 A) |

OAA recommends considering both the percent of the vote and the actual count of positive and negative votes when assessing the disposition of a vote at all levels of review.

### **IV** [**Appointments**](#Appointments)

# A [Criteria](#_A._Criteria)

As stipulated in Faculty Rule [3335-6](https://trustees.osu.edu/bylaws-and-rules/3335-6), faculty peer-review is the fundamental process by which universities make decisions of faculty selection, reappointment, promotion and tenure, and credentialling (the process of affirming the qualifications of a faculty to teach or review a certain curriculum). Faculty therefore play a central role in the recruitment and appointment of other faculty. Qualifications for instructional staff will be judged primarily on earned degrees, but other factors, including but not limited to equivalent experience, may be considered by the campus in determining whether a faculty member is qualified. As a default standard, newly appointed faculty must possess an academic degree in a field or subject area relevant to the courses they will teach and at least one level above the level at which they teach, except in programs for terminal degrees, when the accreditation standards of the profession require otherwise, or when equivalent experience is established.

OAA review and approval are required when hiring those who hold an academic degree that is not above the level at which they teach but who possess a minimum threshold of special competence, experience, and expertise that uniquely qualifies them in their discipline and is equivalent to the degree that is otherwise required for a faculty position. This must be documented through a review process determined by the relevant TIU or college.

**NOTE:** A minimum of a bachelor’s degree with clear professional experience is required for consideration.

The minimum threshold of experience for alternative qualification must be defined by the campus and relevant TIU and will establish alternative processes for documenting alternative qualifications, evaluation of instruction by, and otherwise supervising these instructors, consistent with the minimum threshold of experience and evaluation process described in the [Faculty Appointments Policy](https://oaa.osu.edu/sites/default/files/links_files/facultyappointments_1.pdf). A minimum threshold of equivalent experience shall consider the number of years of real-world experience and/or demonstrated skills, and in some cases professional certifications, in the same area in which the potential instructor of record will be teaching. OAA has final decision-making authority to determine whether the qualification of an instructor of record whose highest degree is less than a master’s degree meets the minimum threshold.

This section of the APT should state that the appointment of all compensated faculty, irrespective of appointment type and rank, must be based on a formal search process following the [SHIFT](https://faculty.osu.edu/shift) Framework for faculty recruitment and that all faculty positions must be posted in [Workday](https://it.osu.edu/workday).

### **1** [**Tenure-track faculty**](#TTFaculty)

This section first establishes criteria for appointment at the rank of instructor and assistant professor. Appointments at the rank of instructor are reserved for faculty who are in the process of completing required credentialing but otherwise fit the criteria for assistant professor. Any specific information regarding instructors should be included. Promotion to assistant professor occurs without review the semester following completion of the required credentialing.

Criteria for appointment at higher ranks are to be consistent with the criteria for promotion to those ranks established in the APT document. Refer to Faculty Rule [3335-6-02](https://trustees.osu.edu/bylaws-and-rules/3335-6) regarding criteria for appointment, reappointment, and promotion and tenure, and to Faculty Rule [3335-6-03](https://trustees.osu.edu/bylaws-and-rules/3335-6) regarding probationary service and duration of appointments for tenure-track faculty.

### **2** [**Clinical/teaching/professional practice faculty**](#_2._Clinical/Teaching/Professional_P)

This section and all subsequent sections pertaining to clinical/teaching/professional practice faculty are relevant only to academic units authorized to make such appointments (see Faculty Rule [3335-7](https://trustees.osu.edu/bylaws-and-rules/3335-7)). Initial probationary appointments for clinical/teaching/professional practice faculty are made for a period of five years and require a formal renewal at the end of the contract period if they are to be continued. Subsequent non-probationary appointments can be made from a period of three years and up to eight years (depending on the rank of the faculty).

This section first establishes criteria for appointment at the rank of clinical/teaching/professional practice instructor and assistant professor. Criteria for appointment at the rank of instructor for clinical/teaching/professional practice appointments are to follow the principles guiding the same rank on the tenure-track.

Criteria for appointment at higher ranks are to be consistent with the criteria for promotion to those ranks established in the APT document.

The suggested appointment criteria included in the accompanying document are somewhat generic given that the nature of clinical/teaching/professional practice appointments varies. A campus should strive for an equivalent or greater level of detail in adapting the suggested content to its particular needs. For each rank, the document should spell out the required practice criteria, such as:

* required licensure/certification;
* differentiation with respect to tenure track positions in regarding to supporting the missions of the unit;
* teaching experience related to the teaching areas to be assigned; and
* meeting the promotion criteria to each rank.

### **3** [**Research faculty**](#_3._Research_Faculty)

This section and all subsequent sections pertaining to research faculty are relevant only to academic units authorized to make such appointments (see Faculty Rule [3335-7](https://trustees.osu.edu/bylaws-and-rules/3335-7)).

This section first establishes criteria for appointment at the rank of research assistant professor.

Criteria for appointment at higher ranks are to be consistent with the criteria for promotion to those ranks established in the APT document.

### **4** [**Associated faculty**](#_4._Associated_Faculty)

This section is used to establish criteria for appointment and reappointment of compensated and uncompensated associated faculty. Associated appointments may be made for a period of up to three years, but budget considerations may require limiting appointments to a one-year duration. Such appointments require a formal renewal at the end of the contract period if they are to be continued. Visiting faculty appointments may be renewed annually for only three consecutive years.

Additional information about associated faculty can be found in Faculty Rule [3335-5-19](https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html).

The types of associated appointments are as follows:

* Adjunct titles (compensated and uncompensated)—provides significant service to the instructional and/or research program of the unit. These individuals have credentials comparable to tenure-track, clinical/teaching/professional practice, or research faculty of equivalent rank who need a faculty title to perform such service. They may be university employees or non-university employees.
	+ adjunct instructor, adjunct assistant professor, adjunct associate professor, adjunct professor
* Tenure-track titles 1–49% (compensated)—provides significant service to the teaching, research and creative activity, and service program of the unit
	+ instructor, assistant professor, associate professor, professor
* Tenure-track titles 0% (uncompensated)—provides significant service to the teaching, research and creative activity, and service program of the unit
	+ instructor, assistant professor, associate professor, professor
* Clinical of practice titles (compensated or uncompensated)—practitioner who provides clinical teaching and patient care in the health sciences
	+ Clinical instructor of practice, clinical assistant professor of practice, clinical associate professor of practice, clinical professor of practice
* Lecturer and senior lecturer (compensated)—provides service to the instructional program of the unit
* Visiting titles (compensated or uncompensated)—temporary faculty and persons on leave from other academic institutions
	+ visiting instructor, visiting assistant professor, visiting associate professor, visiting professor

Uncompensated associated appointments are appropriate only for individuals who provide substantial service to the academic mission of the appointing unit. Campuses should establish guidelines for the circumstances in which such associated faculty may identify themselves as Ohio State faculty.

### **5** [**Emeritus faculty**](#_5._Emeritus_Faculty)

Emeritus faculty status recognizes sustained academic contributions to the university as described in Faculty Rule [3335-5-36](https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html). Full-time tenure-track, clinical/teaching/professional practice, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service. If the faculty member requesting emeritus status has in the ten 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](https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html), emeritus status will not be considered.

Various offices within the university offer perquisites to emeritus faculty. Some of these include, but are subject to the discretion of the campus and modification at any time:

* Emeritus parking free of charge (application provided by the BOT).
* Emeritus permanent university ID card permitting library privileges.
* Continuing use of OSU email account (requested by calling the Office of Technology and Digital Innovation’s Help Line at 614-688-4357).
* Reduced membership fee offered by the Faculty Club.
* Use of recreational facilities on same basis as university faculty.
* Athletic tickets, including football ticket applications, offered by the Department of Athletics at university faculty prices.
* Emeritus faculty are eligible to receive campus-wide news publications issued by the university.
* At the discretion of the regional campus, emeritus faculty may attend certain faculty meetings without vote. Campus Patterns of Administration provide information about the participation of emeritus faculty in faculty meetings. Emeritus faculty may not participate in meetings involving personnel decisions.
* Use of hotel contracts and car rental contracts with OSU/Big Ten.
* The provision of office space, secretarial support, office supplies, and technology use, either at retirement or anytime thereafter, at the sole discretion of each regional campus.

### **B** [**Procedures**](#_B._Procedures)

The appointment of all compensated faculty, irrespective of appointment type or rank, must be based on a formal search process following the [SHIFT](https://faculty.osu.edu/shift) Framework for faculty recruitment, and all faculty positions must be posted in [Workday](https://workday.osu.edu/).

### **1** [**Tenure-track faculty**](#_1._Tenure‐Track_Faculty)

OAA requires a national search to ensure a diverse pool of highly qualified candidates. Requests for exceptions (under limited circumstances) to this policy must be submitted to OAA. Search procedures must entail substantial faculty involvement and be consistent with the OAA Policy on [Faculty Recruitment and Selection.](http://oaa.osu.edu/sites/default/files/links_files/facultyrecruitment.pdf)

Searches for tenure-track faculty proceed according to the [SHIFT](https://faculty.osu.edu/shift) Framework, which must be detailed in this section. The relevant language appears in the accompanying APT guideline document.

Appointments at assistant professor level require prior approval by the relevant TIU head and the college dean. Appointments at advanced rank (associate professor, professor) require prior approval by the TIU head, the college dean, and OAA.

Pre-tenure appointments with prior service credit require prior approval by the TIU head, the college dean, and OAA.

The required documentation for appointments at advanced rank and pre-tenure appointments with prior service credit can be found in the [Faculty Appointments Policy](https://oaa.osu.edu/sites/default/files/links_files/facultyappointments_1.pdf).

An [MOU](https://oaa.osu.edu/sites/default/files/links_files/MOU-Faculty-Temporary-Immigration-Status.pdf) must be signed by faculty eligible for tenured positions who are not U.S. citizens or nationals, permanent residents, asylees, or refugees.

### **2** [**Clinical/teaching/professional practice faculty**](#_2._Clinical/Teaching/Professional_P_1)

If the campus is authorized to have clinical/teaching/professional practice faculty, this section is to establish the procedures for appointment of such faculty.

Searches for clinical/teaching/professional practice faculty generally proceed identically as for tenure-track faculty. OAA requires a national search to ensure a diverse pool of highly qualified candidates.

Appointments at the assistant professor level require prior approval by the relevant TIU head and the college dean. Appointments at advanced rank require prior approval by the TIU head, the college dean, the regional campus dean and director, and OAA.

### **3** [**Research faculty**](#_3._Research_Faculty_1)

If the campus is authorized to have research faculty, this section should establish the procedures for appointment of such faculty.

Searches for research faculty generally proceed identically as for tenure-track faculty. OAA requires a national search to ensure a diverse pool of highly qualified candidates.

Appointments at advanced rank require prior approval by the TIU head, the college dean, the regional campus dean and director, and OAA.

### **4** [**Transfer from the tenure track**](#_4._Transfer_from)

Tenure-track faculty may transfer to a clinical/teaching/professional practice or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the TIU head, the college dean, the regional campus dean and director, and OAA.

Transfers from clinical/teaching/professional practice or research appointments to the tenure track are not permitted.

### **5** [**Associated faculty**](#_5._Associated_Faculty)

This section is to establish the procedures for appointment of such faculty. OAA requires an open search for new appointments or for appointment for all associated faculty who have not worked for OSU in the last 17 months (independent of their FTE engagement). Options to accelerate the position posting and review are listed on the [SHIFT](https://faculty.osu.edu/shift) website, under Associate Faculty Accelerated Framework.

Describe how the decision is made to initiate or not to renew an associated faculty appointment.

Initial appointments at advanced rank require prior approval by the TIU head, the college dean, the regional campus dean and director, and OAA.

### **V** [**Annual performance and merit review**](#_V._Annual_Performance)

Every compensated faculty member must have an annual performance review that includes a scheduled opportunity for a face-to-face meeting. See the [Faculty Annual Review and Reappointment Policy](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf).

The means for carrying out the review will vary according to the traditions of each regional campus. A sample [template](https://www.google.com/url?client=internal-element-cse&cx=001937964751197728343:79s3ohkyvig&q=https://oaa.osu.edu/sites/default/files/uploads/handbooks/policies-and-procedures/samples/Annual-Review-Template.docx&sa=U&ved=2ahUKEwiJzaG_lsGAAxV7jokEHUy4DmYQFnoECAIQAQ&usg=AOvVaw0H16eIudz8LjSgzsgzmc2i) is provided by OAA.

# A [Documentation](#_A._Documentation)

**1** **[Tenure-track, clinical/teaching/professional practice, and research faculty](#_1._Tenure-track_(both)**

The documentation for the annual performance and merit review is defined in the accompanying APT guideline document. It is essential that the campus require adequate documentation of faculty performance in teaching, research and creative activity, and service.

**2** **[Associated faculty](#_2._Associated_Faculty)**

The campus will describe the documentation required of associated faculty.

### **B** [**Probationary tenure-track faculty**](#_B._Probationary_Tenure‐Track)

Refer to Faculty Rule [3335-6-03](https://trustees.osu.edu/bylaws-and-rules/3335-6) on probationary service and duration of appointments for tenure-track faculty. The procedures for faculty participation in the annual review of probationary tenure-track faculty is to be described in this section, including provision for handling differing assessments by the campus faculty and the dean and director. Such differences should be resolved so that conflicting advice is not offered to a probationary faculty member.

A nonrenewal recommendation during the first-, second-, third- or fifth-year review must result from application of Fourth-Year Review procedures.

See the [Faculty Annual Review and Reappointment Policy](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf) for OAA guidelines on the annual review process of probationary tenure-track faculty.

### **1** [**Fourth-Year Review**](#_1._Fourth‐Year_Review)

See the [Faculty Annual Review and Reappointment Policy](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf) for OAA guidelines on the Fourth-Year Review process of probationary tenure-track faculty.

### **2** [**Extension of the tenure clock**](#_2._Extension_of) (exclusion of time from the probationary period)

Cite Faculty Rule [3335-6-03](https://trustees.osu.edu/bylaws-and-rules/3335-6) (D), which sets forth the conditions under which a probationary tenure-track faculty member may extend the probationary period, and Faculty Rule [3335-6-03](https://trustees.osu.edu/bylaws-and-rules/3335-6) (E), which does likewise for reducing the probationary period.

### **C** [**Tenured faculty**](#_C._Tenured_Faculty)

See the [Faculty Annual Review and Reappointment Policy](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf) for OAA guidelines on the review of tenured faculty.

## D [Clinical/teaching/professional practice faculty](#_D._Clinical/Teaching/Professional_P)

See the [Faculty Annual Review and Reappointment Policy](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf) for OAA guidelines on the review of clinical/teaching/professional practice faculty.

## E [Research faculty](#_E._Research_Faculty)

See the [Faculty Annual Review and Reappointment Policy](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf) for OAA guidelines on the review of research faculty.

### **F** [**Associated faculty**](#_F._Associated_Faculty)

Associated faculty who have not collected and maintained the documentation necessary (see V.A.2 above) to support a fully informed evaluation are to be informed that promotion will be considered only when sufficient documentation has been accumulated and assisted with understanding what information is required. Associated faculty members being considered for reappointment at senior rank will be reviewed using the unit’s current APT document.

External evaluations are optional for associated faculty. OAA recommends that external evaluations be solicited in cases when the eligible faculty is not able to provide a thorough peer review of the case without the expertise of faculty outside of the university. In some cases, external evaluation of clinical work and professional service may be appropriate.

A negative recommendation at any level means that the final decision is negative, and the case does not go forward.

# G [Salary recommendations](#_G._Salary_Recommendations)

Clearly state the criteria for salary increases and any other performance-based rewards (see the [Policy on Faculty Compensation](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)). Also state the procedures for determining salary recommendations and recommendations for other rewards.

### **VI** [**Promotion and tenure and promotion reviews**](#PromotionReviews)

### **A** [**Criteria and evidence that support promotion**](#Criteria)

# 1 [Promotion to associate professor with tenure](#_1._Promotion_to)

Include general statements about the quality of performance in teaching, research and creative activity (this will be evaluated by the faculty member’s TIU), and service expected for promotion and tenure or promotion. Citizenship, collegiality and/or ethical behavior may not be established as a fourth criterion in promotion and tenure or promotion reviews independent of teaching, research and creative activity, and service. On request of the Senate Rules Committee, in May 2000, OAA responded that the Faculty Rules provide solely for review of teaching, research and creative activity, and service in promotion and tenure or promotion reviews. Review bodies may consider citizenship, collegiality, and/or ethical behavior in the context of evaluating the three main areas of activity but may not use such behavior as an independent category.

Although promotion criteria will vary both according to the specific responsibilities of each faculty member, every candidate is to be held to a standard of excellence in all aspects of performance. Though the total body of work over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on achievements while a faculty member is at Ohio State (see the [*Policies and Procedures Handbook*](https://oaa.osu.edu/policies-and-procedures-handbook), Chapter 3 for guidance). It is essential that the pattern of performance over the probationary period yields a high degree of confidence that the candidate will continue to develop professionally.

According to Faculty Rule [3335-6-02](https://trustees.osu.edu/bylaws-and-rules/3335-6)(B) and (D), tenure will not be awarded below the rank of associate professor.

Reviews for promotion with tenure and for promotion are conducted first on the regional campus, with an emphasis on teaching and service, and then by the TIU at the Columbus campus with an emphasis on research, scholarship, and/or creative activity. Accordingly, this section of the APT should list the specific teaching and service criteria and evidence that will be examined in assessing whether promotion and/or tenure is merited. Criteria and evidence will vary according to the field of study. The OAA core [dossier outline](https://faculty.osu.edu/sites/default/files/documents/Core-Dossier-Outline-Instruction.pdf) serves as a basic standard for documentation, but a campus is not limited to assessing only the stated items. This information may be presented in chart form using the models that appear in the accompanying APT guideline document, or in any other format that clearly sets forth, on the one hand, a campus’s criteria for promotion with tenure and, on the other, the evidence showing that the criteria have been met.

### **Teaching**

OAA requires evaluation of instruction in all courses and by all faculty members regardless of category or rank. The faculty member is responsible for the evaluation of instruction, to be carried out on a regular basis and in a systematic manner to be determined by the campus. Moreover, the evaluation of university teaching should be a comprehensive, integrated process that includes collection of data from students, peers, administrators, and the faculty members themselves. These data are interpreted with the understanding that both university instruction and its evaluation entail professional judgments according to expectations of the TIU.

Faculty members are expected to participate in continuing education related to their teaching assignments. To that end, all faculty have access to the [Drake Institute](https://drakeinstitute.osu.edu/) Teaching Support Program.

### **Service**

Activities generally considered to be service include:

* administrative work for the campus, TIU, college, and/or university;
* service to the profession such as leadership roles and editorial and reviewing activities; and
* application of professional expertise in outreach to the community (community outreach not germane to a faculty member’s professional expertise is not relevant to promotion and tenure reviews).

Determine quality as well as quantity indicators of service roles and the effort these roles entail. Beyond the campus and external to the university, quality indicators of service would include such activities as election or appointment to leadership roles, chairing committees, leading initiatives, and other evidence that the candidate’s services are sought rather than volunteered, and external recognition for such service (e.g. awards).

Depending on the nature of a candidate’s service, it may be appropriate to obtain written evaluations from those who are in a position to evaluate specific contributions.

Candidates who engage in community-engaged scholarship should include that work in the appropriate teaching, research, and creative activities sections. Additionally, there may be components of their community-engaged scholarship that is appropriate for the service section, however there should not be duplicate entries.

### **Research and creative activity (for evaluation by the TIU in Columbus)**

The university’s [Workload Guideline](https://faculty.osu.edu/faculty-support/equitable-policies/faculty-workload-guideline) clarifies that if TIUs have tenure track-faculty on the regional campuses, their workload expectations and APT documents should align to allow the regional campus faculty to achieve the specific criteria required for promotion, given the higher proportion of time allocated to teaching duties for regional campus faculty, as compared to tenure-track faculty on the Columbus campus. When the product of scholarship is primarily disseminated in the form of publications, documentation could include the measures of the quality of the publication outlets, internal evaluation of the candidate’s work, and frequency with which the candidate’s work is cited by others, if appropriate. External funding for research may be a form of documentation of scholarship (aside from its importance in facilitating the conduct of research) when the review processes that lead to its receipt are measures of the quality of a faculty member’s past and planned research.

When the product of scholarship is disseminated in other forms, such as performances, works of art, inventions, commercialization, community-engaged scholarship, or digital media, the TIU must describe the specific ways in which the quality of these works will be assessed.

External evaluations of scholarship are required. TIUs must nonetheless make every effort to assess the quality of a candidate’s work from multiple approaches rather than rely solely on the external letters of evaluation. Total reliance on external evaluations is inappropriate, possibly leading to decisions that are inconsistent with TIU standards and expectations.

### **2** [**Promotion to professor**](#_2._Promotion_to)

See Faculty Rule [3335-6-02](https://trustees.osu.edu/bylaws-and-rules/3335-6)(C) and (D). This section should document the criteria for promotion to professor. As noted above, the university’s [Workload Guideline](https://faculty.osu.edu/faculty-support/equitable-policies/faculty-workload-guideline) clarifies that if TIUs have tenure track-faculty on the regional campuses, their workload expectations and APT documents should align to allow the regional campus faculty to achieve the specific criteria required for promotion, given the higher proportion of time allocated to teaching duties for regional campus faculty, as compared to tenure-track faculty on the Columbus campus.

### **3** [**Clinical/teaching/professional practice faculty**](#_3._Clinical/Teaching/Professional_P)

Because clinical/teaching/professional practice faculty may be hired at the rank of instructor, this section is to describe the criteria for promotion to clinical/teaching/professional practice assistant professor, associate professor, and professor. These criteria are to reflect the fact that clinical/teaching/professional practice faculty members are primarily engaged in professional practice and clinical/teaching/professional practice instruction. Any expectations for scholarly work should be substantively different from and lower than those for tenure-track faculty.

The suggested promotion criteria in the accompanying APT guideline document are somewhat generic. The campus APT should include an equivalent or greater level of detail in adapting the suggested content to its particular needs. For each rank, the document should spell out the required practice criteria, such as:

* required licensure/certification;
* teaching experience related to the teaching areas to be assigned; and
* meeting the promotion criteria to each rank.

### **4** [**Research faculty**](#_4_Research_Faculty_1)

Because the entry rank at which research faculty may be hired is assistant professor, this section is to describe the criteria for promotion to research associate professor and research professor. These criteria are to reflect the fact that research faculty members are primarily engaged in research.

## 5 [Associated faculty](#_5_Associated_Faculty_1)

This section is to describe the criteria for promotion, as appropriate, to adjunct associate professor and adjunct professor; to associate professor and professor with FTE below 50%; and to senior lecturer. Criteria will vary, depending on the nature of the appointment.

### **B** [**Procedures**](#_B._Procedures_1)

The campus’s procedures for promotion and tenure and promotion reviews must be consistent with those set forth in Faculty Rule [3335-6-04](https://trustees.osu.edu/bylaws-and-rules/3335-6). This rule provides general information but does not delineate all aspects of the review process. Listed below are campus-specific issues that should be addressed in this section to supplement Faculty Rule [3335-6-04](https://trustees.osu.edu/bylaws-and-rules/3335-6).

Campus procedures should always assure a thorough and critical review. A campus that conceptualizes a review as advocacy of the candidate, as building rather than evaluating a case, is not acting in its own best interests. Advocacy of a weak candidate not only sends an unfavorable message about the campus to higher level review bodies but, if successful, may, in the long term, be detrimental to it.

# 1 [Responsibilities of tenure-track and clinical/teaching/professional practice faculty](#_1._Responsibilities_of)

# a [Dossier](#Dossier)

Every candidate must submit a complete and accurate dossier in accordance with the Office of Academic Affairs [dossier outline](https://faculty.osu.edu/sites/default/files/documents/Core-Dossier-Outline-Instruction.pdf). All candidates must use the OAA format and outline regardless of start date. Include the approximate timing for each stage of the review and who is responsible for verifying the accuracy of citations and other aspects of candidates’ dossiers.TIUs require unit-appropriate documentation, as detailed in their APT document.

# b [Appointments, promotion, and tenure (APT) document](#APTDocument)

Candidates must indicate the APT document under which they wish to be reviewed. Details are to appear as they do in the accompanying APT guideline document.

**c** **[External evaluations](#ExternalEvaluations)**

If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to TIU guidelines.

**2** **[Responsibilities of the promotion and tenure committee](#_2._Responsibilities_of)**

Base these responsibilities on those listed in the accompanying APT guideline document. If the TIU does not delegate such responsibilities to a promotion and tenure committee, list these responsibilities as those of the eligible faculty.

# 3 [Responsibilities of the eligible faculty](#_3._Responsibilities_of)

Base these responsibilities on those listed in the accompanying APT guideline document. If the campus does not have a promotion and tenure committee, be sure to transfer the responsibilities of the promotion and tenure committee listed in the accompanying APT guideline document to those of the eligible faculty.

# 4 [Responsibilities of the dean and director](#ResponsibilitiesDean)

Base these responsibilities on those listed in the accompanying APT guideline document.

# 5 [Procedures for research faculty](#ProceduresResearchFaculty)

The promotion review of research faculty takes place on the Columbus campus according to the procedures described for Columbus campus research faculty in the TIU’s APT document.

# 6 [Procedures for associated faculty](#ProceduresAssociatedFaculty)

Adjunct faculty and associated faculty with tenure-track titles for whom promotion is a possibility must follow the promotion guidelines and procedures prescribed for tenure-track faculty above.

Lecturers for whom promotion to senior lecturer is a possibility are reviewed by the dean and director or designee.

### **VII** [**Promotion and tenure and reappointment appeals**](#_VII._Promotion_and)

Faculty Rule [3335-6-05](https://trustees.osu.edu/bylaws-and-rules/3335-6)(A) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05](https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html).

### **VIII** [**Seventh-year reviews**](#_VIII._Seventh-Year_Reviews)

Faculty Rule [3335-6-05](https://trustees.osu.edu/bylaws-and-rules/3335-6)(B) 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 review.

### **IX** [**Procedures for student and peer evaluation of teaching**](#_IX._Procedures_for)

### **A** [**Student evaluation of teaching**](#_A._Student_Evaluation)

Student evaluation is focused on students’ perceptions of instruction, taking into account those factors shown by research to affect such responses, including class size and whether the course was required or an elective in the student’s program. The campus must set forth a detailed plan for obtaining student evaluation information to be used in faculty performance reviews. Faculty must use a standard, objective, campus-approved tool for student evaluation. As noted above, the campus’s selection of an assessment tool is subject to the approval of the dean and director. This assessment tool may be generated by the campus, or the Ohio State SEI may be used. For required components and further discussion see the [*Policies and Procedures Handbook*](https://oaa.osu.edu/policies-and-procedures-handbook), Chapter 2, Section 1.4.4.2: Student Evaluation of Instruction.

Solicited letters from former students, and particularly from former graduate students, are not credible forms of evaluation of teaching.

### **B** [**Peer evaluation of teaching**](#_B._Peer_Evaluation)

Regional campuses must provide opportunities for and mechanisms that support both formative and summative evaluation of teaching. A campus must set forth detailed guidelines for peer evaluation of teaching to be used in faculty performance reviews that is appropriate for its instructional situation(s).

Peer evaluation should focus on those aspects of teaching that students cannot evaluate, such as appropriateness of curricular choices given the goals of the course (survey, major required course), implicit and explicit goals of instruction, choice of examination/evaluation materials by the faculty member, and consistency with current disciplinary knowledge. Assessment of these aspects can be made by peers from the campus or external reviewers as determined by procedures established by the campus.

Campuses may select from among many modalities of peer review. See the [Drake Institute for Teaching and Learning](https://drakeinstitute.osu.edu/) for links to online resources at Ohio State and at other institutions, as well as published sources that offer principles and methods for the formative and summative evaluation of teaching. Campuses must not only establish guidelines governing evaluation of instruction but also abide by those guidelines, applying them evenly and without prejudice. For further discussion, see the [*Policies and Procedures Handbook*](https://oaa.osu.edu/policies-and-procedures-handbook), Chapter 2, Section 1.4.4: Evaluation of Instruction.

Periodic peer evaluation is required for all tenure-track and clinical/teaching/professional practice faculty who deliver formal course instruction and recommended for any associated faculty with multiple-year appointments. In the case of professors, such evaluation can take the form of peer review without a formal written evaluation. In addition, peer evaluation for promotion should include at least two different evaluations, with the exact number to be determined by the campus.

**Appointments, Promotion, and Tenure**

**Criteria and Procedures**

**The Ohio State University at [Campus Name]**

Approved by the Faculty Assembly: [date]

Approved by the Office of Academic Affairs: [date]

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*Red italicized text is meant to provide guidance. It should not be included in campus governance documents.*

# I [Preamble](#_I_Preamble)

This document is a supplement to Chapter 6 and 7 of the [Rules of the University Faculty](https://trustees.osu.edu/bylaws-and-rules/university-faculty-rules)[;](https://senate.osu.edu/faculty-rules) the annually updated procedural guidelines for promotion and tenure reviews in Chapter 3 of the Office of Academic Affairs [*Policies and Procedures Handbook*](https://oaa.osu.edu/policies-and-procedures-handbook); <https://oaa.osu.edu/policies-and-procedures-handbook>the governance documents of tenure‐initiating units; and other policies and procedures of the University to which Ohio State [campus name] and its faculty are subject.

Should those rules and policies change, Ohio State [campus name] shall follow the new rules and policies until such time as it can update this document to reflect the changes.

This document is subject to continuing revision. It must be reviewed and either revised or reaffirmed at least every five years on appointment or reappointment of the dean and director. Revisions may be made at any time. All revisions, as well as periodic reaffirmation, are subject to approval by the dean and director and the Office of Academic Affairs. Although the dean and director and faculty attempt to reach consensus on the document, formal faculty acceptance of the document is not required. If consensus or formal faculty approval cannot be achieved, the dean and director may implement the document without such consensus or approval.

This document must be approved by the dean and director of Ohio State [campus name] and the Office of Academic Affairs before it may be implemented. It sets forth the campus’s mission and, in the context of that mission and the mission of the university, the campus’s criteria and procedures for faculty appointments, and faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and director of Ohio State [campus name] and the Office of Academic Affairs accept the mission and criteria of the campus and delegate to it the responsibility of applying high standards in evaluating continuing faculty and candidates for faculty positions.

The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](https://trustees.osu.edu/university-faculty-rules/3335-6) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule [3335-6-02](https://trustees.osu.edu/university-faculty-rules/3335-6) and other standards specific to this campus; 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 affirmative action and equal employment opportunity](https://policies.osu.edu/assets/policies/Policy-AAEEO.pdf)[.](https://hr.osu.edu/public/documents/policy/policy110.pdf)

1. **[Campus Mission](#_II_Campus_mission)**

*Include campus mission statement.*

*Wording here must be exactly the same as in the Pattern of Administration.*

1. **[Definitions](#_III_Definitions)**

**A.** **[Eligible Faculty](#_A_Committee_of_1)**

The eligible faculty for all appointment (hiring), reappointment, promotion, or promotion and tenure reviews must have their primary appointment on the [campus name].

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

**1.** **[Tenure-track Faculty](#_1_Tenure-track_faculty)**

**Initial Appointment Reviews**

* **Appointment Review**. For an appointment (hiring) review of an assistant professor, associate professor, or professor, the eligible faculty consists of all tenure-track faculty with primary assignments at Ohio State [campus name].

*The bullet above is applicable only when the search committee recommendation for appointment decisions includes a faculty vote. Whether there is a faculty vote or not, the search committee recommends the candidate to the dean and director, who consults with the appropriate TIU head.*

* **Rank Review.** *[Regardless of whether the appointment decision includes a vote of the eligible faculty, the following action must be taken:]* A vote on the appropriateness of the proposed rank must be cast by all tenured faculty with primary assignments at Ohio State [campus name] who have equal or higher rank than the position requested. The vote is advisory to the dean and director, who consults with the appropriate TIU head.

**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 with primary assignments at Ohio State [campus name].
* For the promotion reviews of associate professors, the eligible faculty consists of all tenured professors with primary assignments at Ohio State [campus name].

**2.** **[Clinical/Teaching/Professional Practice Faculty](#_2_Clinical/teaching/professional_pr)** *[include only the appointment types made on the campus]*

**Initial Appointment Reviews**

* **Appointment Review**. For an appointment (hiring or appointment change from another faculty type) review of a clinical/teaching/professional practice assistant professor, an associate clinical/teaching professor or professional practice associate professor; or a clinical/teaching professor or professional practice professor, the eligible faculty consists of all tenure-track faculty and all clinical/teaching/professional practice faculty with primary assignments at Ohio State [campus name].

*The bullet above is applicable only when the search committee recommendation for appointment decisions includes a faculty vote. Whether there is a faculty vote or not, the search committee recommends the candidate to the dean and director, who consults with the appropriate TIU head.*

* **Rank Review**. *[Regardless of whether the appointment decision includes a vote of the eligible faculty, the following action must be taken:]* A vote on the appropriateness of the proposed rank must be cast by all tenured faculty with primary assignments at Ohio State [campus name] who have equal or higher rank than the position requested, and all nonprobationary clinical/teaching/professional practice faculty with primary assignments at Ohio State [campus name] who have equal or higher rank than the position requested. The vote is advisory to the dean and director, who consults with the appropriate TIU head.

**Reappointment and Promotion Reviews**

* For the reappointment and promotion reviews of assistant clinical/teaching professors and professional practice assistant professors, the eligible faculty consists of all tenured associate professors and professors, all nonprobationary associate clinical/teaching professors, all nonprobationary clinical/teaching professors, all nonprobationary professional practice associate professors, and all nonprobationary professional practice professors with primary assignments at Ohio State [campus name]. The vote is advisory to the dean and director, who consults with the appropriate TIU head.
* For the reappointment and promotion reviews of associate clinical/teaching professors and professional practice associate professors, and the reappointment reviews of clinical/teaching professors and professional practice professors, the eligible faculty consists of all tenured professors, all nonprobationary clinical/teaching professors, and all nonprobationary professional practice professors with primary assignments at Ohio State [campus name]. The vote is advisory to the dean and director, who consults with the appropriate TIU head.

**3.** **[Research Faculty](#_3_Research_faculty)** *[include only if the campus makes such appointments]*

**Appointment Reviews**

* **Initial Appointment Review.** For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, research associate professor, or research professor, the eligible faculty consists of all tenure-track faculty and all research faculty with primary assignments at Ohio State [campus name].

*The bullet above is applicable only when the search committee recommendation for appointment decisions includes a faculty vote. Whether there is a faculty vote or not, the search committee recommends the candidate to the dean and director, who consults with the appropriate TIU head.*

* **Rank Review.** *[Regardless of whether the appointment decision includes a vote of the eligible faculty, the following action must be taken:]* A vote on the appropriateness of the proposed rank must be cast by all tenured faculty with primary assignments at Ohio State [campus name] who have equal or higher rank than the position requested and all nonprobationary research faculty with primary assignments at Ohio State [campus name] who have equal or higher rank than the position requested. The vote is advisory to the dean and director, who consults with the appropriate TIU head.

**Reappointment and Promotion Reviews**

* For the reappointment and promotion reviews of research assistant professors, the eligible faculty consists of all tenured associate professors and professors and all nonprobationary research associate professors and professors with primary assignments at Ohio State [campus name]. The vote is advisory to the dean and director, who consults with the appropriate TIU head.
* For the reappointment and promotion reviews of research associate professors and the reappointment reviews of research professors, the eligible faculty consists of all tenured professors and all nonprobationary research professors with primary assignments at Ohio State [campus name]. The vote is advisory to the dean and director, who consults with the appropriate TIU head.

**4.** **[Associated Faculty](#_4_Associated_faculty)**

**Initial Appointment and Reappointment**

* For the initial appointment (hiring or appointment change from another faculty type) of compensated associated faculty members, the eligible faculty consists of all tenure-track faculty, all clinical/teaching/professional practice faculty, and all research faculty with primary assignments at Ohio State [campus name].

*The bullet above is applicable only when the search committee recommendation for appointment decisions includes a faculty vote. Whether there is a faculty vote or not, the search committee recommends the candidate to the dean and director, who makes the hiring decision in consultation with the appropriate TIU head.*

Initial appointments at senior rank require a vote by the eligible faculty (all tenured faculty with primary assignments at Ohio State [campus name] who have equal or higher rank than the position requested and, if the campus has granted them such voting rights, all non-probationary clinical/teaching/professional practice faculty and research faculty with primary assignments at Ohio State [campus name] who have equal or higher rank than the position requested) and prior approval of the relevant college dean. The vote is advisory to the dean and director, who makes the hiring decision in consultation with the appropriate TIU head.

* For reappointments, the eligible faculty are all tenured faculty with primary assignments at Ohio State [campus name] who have equal or higher rank than the candidate and, if the campus has granted them such voting rights, all non-probationary clinical/teaching/professional practice faculty and research faculty with primary assignments at Ohio State [campus name] who have equal or higher rank than candidate. The vote is advisory to the dean and director, who consults with the appropriate TIU head.

*Or:* *Reappointments of associated faculty do not require a faculty vote and are decided by the dean and director in consultation with the appropriate TIU head.*

**Promotion Reviews**

* Associated faculty are eligible for promotion but not tenure if they have adjunct titles, tenure-track titles with service at 49% FTE or below, and lecturer titles.

For the promotion reviews of associated faculty with adjunct titles, the eligible faculty shall be the same as for tenure-track, clinical/teaching/professional practice, or research faculty, as appropriate to the appointment, as described in Sections III.A.1, 2 or 3 above.

For the promotion reviews of associated faculty with tenure-track titles, the eligible faculty shall be the same as for tenure-track faculty as described in Section III.A.1.

The dean and director or designee reviews lecturers for promotion to senior lecturer. The dean and director’s (or designee’s) decision is final.

**5.** **[Conflict of Interest](#_5_Conflict_of)**

**Search Committee Conflict of Interest**

A member of a search committee must disclose to the committee and refrain from participation in any of the interviews, meetings, or votes that comprise the search process if the member:

* decides to apply for the position;
* is related to or has a close interpersonal relationship with a candidate;
* 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 the candidate.

**Eligible Faculty Conflict of Interest**

A member of the eligible faculty has a conflict of interest when he/she/they are or have been to the candidate:

* a thesis, dissertation, or postdoctoral advisee/advisor;
* a co-author on more than 50% of the candidate’s 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 with the candidate since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services) or is dependent in some way on the candidate’s services; or
* 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 a promotion review of that candidate.

# B. [Promotion and Tenure Committee](#_B_Promotion_and)

*If the campus does not delegate promotion and tenure responsibilities to a Promotion and Tenure Committee, this section is not needed.*

The Promotion and Tenure Committee at Ohio State [campus name] reviews the promotion, tenure, and reappointment or renewal of faculty and provides an evaluative written assessment and recommendation to the dean and director. The committee’s assessment and recommendation are advisory to the dean and director.

*Describe the composition of the Promotion and Tenure Committee, its members’ term of service, how its officers are chosen, and what the committee’s primary duties are.*

## C. [Quorum](#_C_Quorum)

The quorum required for the campus to discuss and vote on all personnel decisions is *[insert quorum determined by the campus; OAA recommends that a quorum of two-thirds be required for a vote to be valid]* of the eligible faculty not on an approved leave of absence. Faculty on approved leave are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if on an approved off-campus assignment.

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

# D. [Recommendation from the Eligible Faculty](#_D_Recommendation_from)

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.

*The Office of Academic Affairs recommends that regional campuses remove abstention options on votes for promotion and tenure reviews.*

Absentee votes and proxy votes are not permitted, but participating fully in discussions and voting via two-way electronic connection is allowed.

# 1. [Appointment](#_1_Appointment)

A positive recommendation from the eligible faculty for appointment is secured when at least more than half of the votes cast are positive. *[This number is illustrative. Use a voting principle that the faculty agree upon.]*

*All search committees are advisory to the dean and director and make their recommendation based on their overall evaluation, which may include a vote of the eligible faculty. The bullet above applies if a faculty vote is part of the search committee recommendation process.*

# 2. [Reappointment, Promotion and Tenure, and Promotion](#_2_Reappointment,_promotion)

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, and promotion is secured when at least more than half of the votes cast are positive. *[This number is illustrative. Use a voting principle that the faculty agree upon.]*

**IV.** **[Appointments](#_IV_Appointments)**

# A. [Criteria](#_A_Criteria_1)

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

For each type of faculty appointment made on this campus, this APT document describes: (1) the campus’s criteria for making such an appointment, (2) the evidence to be provided in support of such an appointment, and (3) the campus’s procedures for making such an appointment. It is the expectation of the campus that a faculty appointment will have been made consistent with all relevant policies, procedures, practices, and standards established by the campus, the Rules of the University Faculty, the Office of Academic Affairs, and the Office of Human Resources.

The appointment of all compensated tenure-track, clinical/teaching/professional practice, research, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT](https://faculty.osu.edu/shift) Framework for faculty recruitment. All faculty positions must be posted in [Workday](https://workday.osu.edu/), the university’s system of record for faculty and staff. A formal review and selection process, including interviews using pre-designed evaluation rubrics, is required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](https://workday.osu.edu/) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

**1.** **[Tenure‐Track Faculty](#_1_Tenure-track_faculty_4)**

Each tenure‐initiating unit (TIU) at Ohio State defines a set of criteria, including research and scholarly activity for hiring tenure‐track faculty at Ohio State’s regional campuses. In addition, Faculty Rule [3335‐6‐04 D.1](https://trustees.osu.edu/university-faculty-rules/3335-6) notes that “the relative weight of teaching and service is ordinarily greater on regional campuses.”

**Instructor**. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. Procedures for appointment are identical to those for an assistant professor. Every effort will be made to avoid such appointments. An appointment at the instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. An instructor must be approved for promotion to assistant professor by the beginning of the third year, or the appointment will not be renewed and the third year is the terminal year of employment.

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

**Assistant Professor.** An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to [campus name], the TIU, and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. For individuals not recommended for promotion and tenure after the mandatory review, the 7th year will be the final year of employment.

Review for tenure prior to the mandatory review year is possible under the protocol of the TIU and the consent of the [campus name]’s dean and director. 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 except through an approved request to extend the probationary period.

**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 the TIU’s criteria in teaching, scholarship, and service for promotion to these ranks. Appointment at the rank of associate professor normally entails tenure. A probationary appointment at the rank of associate professor 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.

Appointments at the rank of professor without tenure are not possible.

Offers to foreign nationals require prior consultation with the Office of International Affairs.

## 2. [Clinical/Teaching/Professional Practice Faculty](#_2_Clinical/teaching/professional_pr_4) *[include only the titles used on the campus]*

Except for those appointed at the rank of instructor, for whom a contract is limited to three years, the initial contract of all other clinical/teaching/professional practice faculty must be for a period of five years. The initial contract at all ranks is probationary, with reappointment considered annually. Second and subsequent contracts for assistant and associate clinical/teaching professors and professional practice assistant and associate professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for clinical/teaching/professional practice professors must be for a period of at least three years and no more than eight years. Tenure is not granted to clinical/teaching/practice faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance.

Performance expectations are set jointly by the TIU and the [campus name]. The process for reappointment depends on the TIU’s policies, which must correspond to the [Faculty Annual Review and Reappointment Policy, III, A-G](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf). Reappointments require the approval of the dean and director.

The [campus name] supports teaching/clinical/professional practice faculty *[include only the titles appropriate for the campus]*. These appointments exist for faculty who focus primarily on the supporting the educational mission of [campus name]. Such faculty are expected to contribute the campus’s mission as reflected in undergraduate and graduate program development and teaching. Teaching/clinical/professional practice faculty appointments are made in accordance with Faculty Rule [3335-7](https://trustees.osu.edu/bylaws-and-rules/3335-7)[.](https://trustees.osu.edu/university-faculty-rules/3335-7) Each new appointment must enhance, or have strong potential to enhance, the quality of the campus.

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

**Assistant Clinical/Teaching Professor and Professional Practice Assistant Professor**. In addition to the criteria the TIU requires for appointment at the rank of assistant clinical/teaching professor or professional practice assistant professor, this campus requires evidence of high-quality teaching and a commitment to service.

# Associate Clinical/Teaching Professor, Professional Practice Associate Professor, Clinical/Teaching Professor, and Professional Practice Professor. In addition to the criteria the TIU requires for appointment at the rank of associate clinical/teaching professor and professional practice associate professor, or clinical/teaching professor and professional practice professor, the campus requires a sustained record of excellent teaching and effective service.

# 3. [Research Faculty](#_3_Research_faculty_4) *[include if appropriate]*

Appointment of research faculty entails one- to five-year appointments. The initial appointment is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is also no presumption that subsequent appointments will be offered, regardless of performance.

Performance expectations are set jointly by the TIU and the [campus name]. The process for reappointment depends on the TIU’s policies, which must correspond to the [Faculty Annual Review and Reappointment Policy, III, A-G](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf). Reappointments require the approval of the dean and director.

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

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

## 4. [Associated Faculty](#_4_Associated_faculty_1)

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 titles are used to confer faculty status on individuals who have credentials comparable to tenure-track, clinical/teaching/professional practice, or research faculty of equivalent rank. The adjunct faculty rank is determined by applying the criteria for appointment of tenure-track, clinical/teaching/professional practice, or research faculty, as appropriate to the appointment. Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the campus, such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track, clinical/teaching/professional practice, or research faculty, as appropriate to the appointment.

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** An earned terminal degree is the minimum requirement for appointment of tenure-track titles at 49% FTE or below.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.

**Lecturer.** Appointment as lecturer requires that the individual have, at a minimum, a master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure but may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer cannot exceed one year. Second and subsequent contracts for lecturers cannot exceed three years.

**Senior Lecturer.** Appointment as senior lecturer requires that the individual have 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 experience, and evidence of ability to provide high-quality instruction. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer cannot exceed one year. Second and subsequent contracts for senior lecturers cannot exceed three years.

**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.

## 5. [Emeritus Faculty](#_5_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.](https://trustees.osu.edu/bylaws-and-rules/3335-5) Full-time tenure track, clinical/teaching/professional practice, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Tenure-track, clinical/teaching/professional practice, and research faculty will send a request for emeritus faculty status outlining academic performance and citizenship to their TIU head. The request will be reviewed according to the process specified in the TIU’s Appointments, Promotion, and Tenure document.

Associated faculty will send their request to the dean and director, who will decide upon the request in consultation with *[indicate the appropriate campus officer]*.

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 [3335-5-04](https://trustees.osu.edu/rules/university-rules/chapter-3335-5-faculty-governance-and-committees.html), emeritus status will not be considered.

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

# B. [Procedures](#_B_Procedures)

The appointment of all compensated tenure-track, clinical/teaching/professional practice, research, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT](https://faculty.osu.edu/shift) Framework for faculty recruitment. All faculty positions must be posted in [Workday](https://workday.osu.edu/), the university’s system of record for faculty and staff. A formal review and selection process, including interviews using pre-designed evaluation rubrics, is required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in [Workday](https://workday.osu.edu/) to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed.

See the [Policy on Faculty Recruitment and Selection](https://oaa.osu.edu/sites/default/files/links_files/facultyrecruitment.pdf)and the [Policy on Faculty Appointments](https://policies.osu.edu/assets/policies/faculty-appointments-policy.pdf)for information on the following topics:

* + - * recruitment of tenure-track, clinical/teaching/professional practice, research, and associated 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](#_1_Tenure-track_faculty_3)

Decisions to search for new tenure-track faculty are the responsibility of the dean and director.

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. This includes all external candidates for all faculty positions. The only exception is for dual career partners, as described in Chapter 5, Section 4.1 of the [*Policies and Procedures Handbook*](https://oaa.osu.edu/policies-and-procedures-handbook). Exceptions to this policy must be approved in advance by the Office of Academic Affairs. Search procedures must entail substantial faculty involvement and be consistent with the OAA [Policy on Faculty Recruitment and Selection.](http://oaa.osu.edu/sites/default/files/links_files/facultyrecruitment.pdf)

Searches for tenure-track faculty proceed as follows:

The dean and director, in consultation with the TIU head, appoints a search committee to identify candidates for the position. The committee must include at least one [campus name] representative from the TIU. The committee will also include at least one Columbus campus member from the TIU unless the TIU head declines to recommend such an appointment.

Prior to any search, members of all search committees must undergo the trainings identified in the [SHIFT](https://faculty.osu.edu/shift) Framework for faculty recruitment. In addition, all employees/faculty involved in the hiring and selection process must review and acknowledge the AA/EEO Recruitment and Selection Guidelines in the BuckeyeLearn system.

This campus has primary responsibility for determining the position description for a tenure-track faculty search, but the dean and director (or designee) consults with the TIU head to reach agreement on the description before the search begins.

The [SHIFT](https://faculty.osu.edu/shift) Framework serves as a centrally coordinated guideline and toolkit to support the entire process of faculty recruitment with clear engagement from all participating stakeholders involved in the faculty hiring process. This framework is intended to provide faculty engaged in search committees and staff providing support services with the tools and support needed to attract excellent and diverse applicant pools, conduct consistent and equitable evaluations, and successfully hire and properly onboard new faculty members who will continue our tradition of academic excellence. This framework consists of six phases, each targeting a specific stage of the recruitment process:

* “Phase 1 | Search Preparation & Proactive Recruitment” is the earliest stage in the search process. Key steps during this phase include determining faculty needs for the unit, creating a search strategy (including timeline), and establishing a budget, all in collaboration with Columbus campus TIUs and college deans in searches for tenure track and clinical/teaching/professional practice faculty. The steps in this phase provide guidance on forming committees, detail training requirements for search committee members, and innovative approaches to advertising and outreach. This section also includes ideas and resources for developing qualified, diverse talent pools to ensure alignment with the university’s commitment to AA/EEO principles and advance the eminence of the institution.
* “Phase 2 | Preliminary Review of Applicants” focuses on best practices for the application review and candidate screening processes. The guidelines and resources in this section support consistency, fairness, and equity in the review, assessment, and selection of candidates moving forward in the recruitment process. This section also outlines how to select a list of candidates for on-campus interviews.
* “Phase 3 | Finalists Interviews & Evaluations” provides guidance and tools for conducting interviews and campus visits, requesting reference letters (if not requested earlier in the application stage), and collecting feedback from everyone who interacted with the candidates. Adherence to the guidelines outlined in this section has a direct impact on enhancing the candidate experience and ensuring a consistent evaluation process. This phase concludes with the submission of a letter from the search committee to the dean and director.
* “Phase 4 | Extend Offer” provides guidance and resources related to effectively selecting the most qualified candidate(s) for the position(s) and successfully negotiating to result in an accepted offer.
* “Phase 5 | Preboard and Onboard” offers resources to help prepare and support new faculty as they transition to Ohio State. The suggestions in this phase focus on creating a seamless transition for incoming faculty and their partners/families, if applicable.
* “Phase 6 | Reflect and Assess the Search” is a process supported by OAA to reflect on the hiring cycle each year and evaluate areas that may need improvement and additional support.

Candidates are interviewed by, at a minimum, the dean and director, TIU head, and either the regional campus search committee or broader representation of the regional and Columbus faculties.

If an offer involves senior rank, the eligible faculty members in the candidate’s Columbus TIU vote 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 the appropriateness of the proposed rank or the appropriateness of prior service credit to the dean and director. The dean and director reports the recommendation to the TIU head, who follows the TIU’s procedures for such considerations. Appointment offers at the rank of associate professor with or without tenure or professor with tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

A hiring decision requires agreement by the dean and director and the TIU head. Upon such agreement, the dean and director can begin negotiations with a candidate. In the event that more than one candidate achieves the level of support required to extend an offer, the TIU head and the dean and director decide which candidate to approach first. The TIU head and the dean and director must agree on the details of the offer, including compensation. The letter of offer must be signed by the TIU head and the dean and director.

## 2. [Clinical/Teaching/Professional Practice Faculty](#_2_Clinical/teaching/professional_pr_3) *[include if appropriate]*

Searches for clinical/teaching/professional practice faculty generally proceed identically as for tenure-track faculty, except that the candidate's presentation during the interview is on clinical/teaching/professional practice topics rather than scholarship.

## 3. [Research Faculty](#_3_Research_faculty_3) *[include if appropriate]*

## Searches for research faculty generally proceed identically as for tenure-track faculty, with the exception that during the interview the candidate is not asked to teach a class.

## 4. [Transfer from the Tenure-Track](#_4_Transfer_from)

Tenure-track faculty may transfer to a clinical/teaching/professional practice or research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the TIU head, the college dean, the [campus name] dean and director, 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 clinical/teaching/practice appointment to the tenure-track are not permitted. Clinical/teaching/practice faculty members may apply for tenure-track positions and compete in regular national searches for such positions.

## 5. [Associated Faculty](#_5_Associated_faculty)

The appointment of compensated associated faculty members follows a formal search following the [SHIFT](https://faculty.osu.edu/shift) Framework, which includes a job posting in [Workday](https://workday.osu.edu/) (see Section IV.B above) and candidate interviews. The appointment is then decided by the dean and director based on recommendation from the search committee and in consultation with the appropriate TIU head.

*[**Or: The appointment of all compensated associated faculty members follows a vote of the eligible faculty and is decided by the dean and director in consultation with the appropriate TIU head. The recommendation to the dean and director is the responsibility of the search committee for all searches whether there is a faculty vote or not.]*

The reappointment of all compensated associated faculty members is decided by the dean and director in consultation with the appropriate TIU head*.*

*[**Or: The reappointment of all compensated associated faculty members follows a vote of the eligible faculty and is decided by the dean and director in consultation with the appropriate TIU head.]*

Compensated associated appointments are generally made for a period of one to three years.

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member on the campus and are decided by the dean and director in consultation with *[insert the campus’ relevant advisory body]*.

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

Lecturer and senior lecturer appointments are made on an annual basis and rarely semester by semester. After the initial appointment, and if the campus’ 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.

## V. [Annual Performance and Merit Review](#_V_Annual_performance)

[Campus name] follows the requirements for annual reviews as set forth in the [Policy on Faculty Annual Review and Reappointment](https://oaa.osu.edu/sites/default/files/uploads/policies/Faculty-Annual-Review-and-Reappointment.pdf), which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting for probationary faculty, and an opportunity for a face-to-face meeting for all other compensated faculty members at the request of the dean and director, the TIU head, or the faculty member, 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; and
		- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

Procedures for the annual performance and merit review of [campus] faculty members are determined by a faculty member’s appointment type and are described in Section V.B-F below. In all cases, accountability for the annual review process resides with the dean and director.

Depending on appointment type, the review is based on expected performance in teaching, scholarship, and/or service as set forth in the campus’ guidelines on faculty duties, responsibilities, and workload (see Section IX of the campus’ [Pattern of Administration](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure)); any additional assignments and goals specific to the individual; and progress toward promotion where relevant.

Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis of promotion decisions. Per Faculty Rule [3335-3-35,](https://trustees.osu.edu/bylaws-and-rules/3335-3) each faculty member’s TIU head is required to include a reminder in the annual review letter that the faculty member has the right (per Faculty Rule [3335-5-04)](https://trustees.osu.edu/bylaws-and-rules/3335-5) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file. The review letter that the dean and director writes also includes such a reminder.

An annual performance and merit review that leads a dean and director to submit (1) a Report of Non-Renewal of Probationary Appointment of Faculty; (2) the fourth-year review of a probationary faculty member; or (3) a Report of Contract Renewal or Non-Renewal for clinical/teaching/professional practice faculty must be assessed by the dean of the faculty member’s college. In each of these cases, the decision of the college dean is final.

# A. [Documentation](#_A_Documentation)

## 1. [Tenure-track (*both probationary and tenured*), Clinical/Teaching/Professional Practice (*both probationary and non-probationary*), and Research Faculty *(both probationary and non-probationary)*](#TTCTPResearchFaculty)

Electronic copies of the following documents must be submitted (per instructions by the dean and director) by January 15 of the calendar year following the year to be reviewed:

* + - * [Dossier outline](https://faculty.osu.edu/sites/default/files/documents/Core-Dossier-Outline-Instruction.pdf) (*required for probationary faculty*) or updated documentation of performance and accomplishments (*non-probationary faculty*)
			* updated CV
			* copies (in electronic format, if possible) of pedagogical papers, books or other teaching‐related or service‐related materials published or accepted for publication

TIUs also require tenure-track and clinical/teaching/professional practice faculty to submit documentation for annual reviews, and the faculty member bears the responsibility of submitting that documentation the TIU. To avoid faculty members’ duplication of effort, the regional campus and the relevant TIU will pull the research, teaching, and service report from the Interfolio RPT interface.

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.

## 2. [Associated Faculty](#Assocfaculty)

For their annual performance and merit review, associated faculty must submit the Teaching section and, if appropriate to a faculty member’s appointment, the Service section of the Office of Academic Affairs [dossier](https://faculty.osu.edu/sites/default/files/documents/Core-Dossier-Outline-Instruction.pdf) outline, and an updated CV.

# B. [Probationary Tenure‐Track Faculty](#_B_Probationary_tenure-track)

The dean and director meets with each probationary tenure-track faculty member to discuss the faculty member’s performance and future plans and goals, with a focus on teaching and service.

The dean and director then prepares a written evaluation with preliminary ratings for teaching and service and may consult with the faculty member’s TIU head and other relevant administrators, especially if a faculty member is involved with graduate students, has taught one or more recent courses on the Columbus campus, has coordinated or directed a program or initiative at the Columbus campus, or served on TIU, college, or university committees.

The dean and director also requests from each faculty member’s TIU head a rating for their research, scholarly, and creative activity in the context of the teaching and service responsibilities of regional campus faculty.

The ratings for teaching, service, and research/scholarly/creative activities use the following scale:

1. Well below expectations
2. Somewhat below expectations
3. Meeting expectations
4. Somewhat above expectations
5. Well above expectations

The dean and director sends the written evaluation to the faculty member and a copy of the letter to the TIU head. The evaluation includes a recommendation to the TIU head on whether to renew the probationary appointment for another year. The dean and director then meets with each faculty member’s TIU head to discuss the faculty member’s progress. The TIU head prepares an independent written evaluation that also includes a recommendation regarding reappointment.

In the event of divergence in performance assessment between the regional campus and the TIU, the TIU head discusses the matter with the dean and director in an effort to clarify and reconcile the divergence, so that the faculty member receives consistent assessment and advice. The faculty member may provide written comments on the review. The dean and director and TIU head’s letters (along with the faculty member's comments, if received) are forwarded to the college dean. In addition, the annual review letters become part of the cumulative dossier for promotion and tenure (along with any comments from the faculty member).

Faculty should refer to the [Appointments, Promotion, and Tenure documents](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure) of their TIUs and colleges for information on review procedures at those levels. If the TIU head recommends renewal of the appointment, the recommendation is final. If the TIU head recommends nonrenewal, then the Fourth-Year Review process is invoked. Following completion of that process, the college dean makes the final decision on renewal or nonrenewal of the probationary appointment.

## 1. [Fourth‐Year Review](#_1_Fourth-Year_Review)

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

The eligible faculty on both the [campus name] and in the TIU conduct reviews of the candidate. On completion of the reviews, both sets of eligible faculty vote by written ballot on whether to recommend renewal of the probationary appointment.

Both eligible faculties forward a record of their vote and a written performance review to the dean and director and to the TIU head. Normally, the review is first conducted on the [campus name] so that the letter from the [campus name] eligible faculty can inform the deliberations of the TIU. The dean and director and the TIU head conduct independent assessments of performance and prepare written evaluations that include a recommendation on whether to renew the probationary appointment. At the conclusion of the TIU review, the formal comments process (per Faculty Rule[3335-6-04](https://trustees.osu.edu/bylaws-and-rules/3335-6)[)](https://trustees.osu.edu/index.php?q=rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html) is followed and the case is forwarded to the college for review, regardless of whether the dean and director or the TIU head recommend renewal or nonrenewal.

## 2. [Extension of the Tenure Clock](#_2_Extension_of)

Faculty Rule [3335‐6‐03 (D)](https://trustees.osu.edu/university-faculty-rules/3335-6) sets forth the conditions under which a probationary tenure track faculty member may extend the probationary period. Faculty Rule [3335-6-03](https://trustees.osu.edu/bylaws-and-rules/3335-6) (E) does likewise for reducing the probationary period. A faculty member remains on duty regardless of extensions or reductions to the probationary period, and annual reviews are conducted in every probationary year regardless of time extended or reduced. Approved extensions or reductions do not limit a TIU’s right to recommend nonrenewal of an appointment during an annual review[.](https://oaa.osu.edu/policies-and-procedures-handbook)

## C. [Tenured Faculty](#_C_Tenured_faculty)

The annual performance and merit review process for tenured faculty members is identical to that for tenure‐track probationary faculty, except that a face-to-face meeting with the dean and director or designee may be upon the request of dean and director, the TIU head, or the faculty member.

## D. [Clinical/Teaching/Professional Practice Faculty](#_D_Clinical/teaching/professional_pr)

The annual performance and merit review process for clinical/teaching/professional practice probationary and non-probationary faculty members is identical to that for tenure-track probationary and tenured faculty, respectively, except that the dean and director does not request that clinical/teaching/professional practice faculty members’ TIU heads provide a rating for research, scholarly, and creative activity. The dean and director will provide the TIU head a copy of a clinical/teaching/professional practice faculty member’s annual performance and merit review letter.

In the penultimate contract year of a clinical/teaching/professional practice faculty member's appointment, the dean and director and the TIU head must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](https://trustees.osu.edu/bylaws-and-rules/3335-6) must be observed.

There is no presumption of renewal of contract.

# E. [Research Faculty](#_E_Research_faculty)

# The annual performance and merit review of research faculty members takes place on the Columbus campus and follows the same procedures as those described in each TIU’s [Appointments, Promotion, and Tenure document](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure) for Columbus campus research faculty. Following the review, the TIU head will consult with the dean and director. The TIU head will provide the dean and director a copy of the faculty member’s annual performance and merit review letter.

# F. [Associated Faculty](#_F_Associated_faculty)

Compensated associated faculty in their initial appointment must be reviewed before reappointment. The reviews are conducted by the dean and director or designee, who meets with the faculty member to discuss the faculty member’s performance, plans, and goals, and then sends the faculty member a written evaluation. The dean and director or designee then decides whether or not to reappoint. If the decision is to reappoint, a multi-year appointment may be extended.

Compensated associated faculty on multiple-year appointments are reviewed annually by the dean and director or designee, who meets with the faculty member to discuss their performance, plans, and goals, and then sends the faculty member a written evaluation. No later than October 15 of the final year of the appointment, the dean and director will decide on whether or not to reappoint. That decision is final.

# G. [Salary Recommendations](#_G_Salary_recommendations)

Under guidance provided by the Annual Merit Compensation Process (AMCP) document each year, the dean and director decides on salary adjustments based on annual performance and merit reviews and on equity considerations. In deciding on merit adjustments, the dean and director considers each faculty member’s annual performance ratings in the context of the percentages associated with the faculty member’s responsibilities.

The dean and director attempts to prevent salary inequities by consulting with TIU heads about appropriate salaries for initial appointments/new positions, recognizing that there may be legitimate salary differences depending on differences in duties between the Columbus and [campus name].

To monitor faculty salaries for inequities during the annual salary setting process, the dean and director will also compare salaries to the median salaries of faculty at the other regional campuses and of Columbus faculty who are in the same TIU and at the same rank including, as possible, time in rank. Developing comparative data may be complicated in cases where the faculty member does not have at least a few Columbus faculty members at the same rank or where significant differences in responsibilities exist. Typically, the dean and director reviews these comparisons every summer. This work will be coordinated with the senior vice provost for external engagement.

In cases where the faculty member’s salary is substantially lower than the comparison group’s median, the dean and director may determine that an equity adjustment is needed to correct, or take steps toward correcting, the inequity. Considerations also include performance differences, the TIU’s scholarship expectations (if applicable), previous assessments of the faculty member’s performance by the dean and director and the TIU head (who may be consulted during this process), and other relevant information. To be eligible for equity adjustments, faculty must have established a record of meeting or exceeding expectations in each of the areas of teaching, scholarship, and service.

Eligible faculty with the largest inequities have first priority for equity adjustments. It may require more than one year to make the desired equity adjustment.

The dean and director may use up to 20% of the regularly available AMCP pool for equity adjustments. More typically, however, the dean and director will ask the executive vice president and provost for permission to use campus funds outside the AMCP pool for equity adjustments. Support for this request is provided via the documentation collected in the assessment process.

Faculty who fail to submit the required documentation 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.

A faculty member who wishes to discuss dissatisfaction with their salary increase with the dean and 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. The regional campuses faculty salary appeals process is described in Chapter 4, Section 2 in The Office of Academic Affairs [*Policies and Procedures Handbook*](https://oaa.osu.edu/policies-and-procedures-handbook).

**VI.** **[Promotion and Tenure and Promotion Reviews](#_VI_Promotion_and)**

[Campus name] faculty are first reviewed by the [campus name] eligible faculty, according to the process established on this campus as defined in this document.

They are then reviewed by the dean and director, who forwards the written evaluation and recommendation of the regional campus review to the TIU head. From that point on, the review follows the procedures for the Columbus campus faculty as described below. Faculty need to be aware of the criteria and documentation requirements of the TIU as defined in the [TIU’s Appointments, Promotion and Tenure document](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure).

Faculty Rule [3335‐6‐02](https://trustees.osu.edu/bylaws-and-rules/3335-6) 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.*

**A.** **[Criteria and Evidence that Support Promotion](#_A_Criteria_and)**

Although institutional citizenship and collegiality are expected, they cannot be used as an independent criterion for promotion or tenure. The [campus name] recognizes, however, that these positive attributes define the ability of a faculty member to contribute effectively to exemplary teaching, scholarship, and service.

A commitment to these values and principles is demonstrated, for example, by participation in faculty governance and community outreach; activities related to the University’s [Shared Values](https://www.osu.edu/shared-values); adherence to principles of the responsible conduct of research; constructive conduct and ethical behavior during the discharge of responsibilities and authority; and the exercise of rights and privileges consistent with the [American Association of University Professors' Statement on Professional Ethics](http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm).

This campus is committed to assessing the practice of these values and principles as part of all performance evaluations. Except when the university dictates any type of across-the-board salary increase, all funds for annual salary increases will be directed toward rewarding meritorious performance and the active promotion of an enriching working and learning environment through collegiality, civility, and openness to diverse ideas and opinions.

## 1. [Promotion to Associate Professor with Tenure](#_1_Promotion_to)

Faculty Rule [3335‐6‐02 (C)](https://trustees.osu.edu/university-faculty-rules/3335-6) 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 an acknowledgement of excellence and future potential for preeminence. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the campus'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. If a candidate's primary teaching role is and will continue to be teaching a specific set of courses, then excellence in that area of teaching is required. Mediocre performance in that area would not be adequately counterbalanced by excellent performance in other courses or in other areas that occupy a significantly smaller part of the individual's responsibilities.

Graduate teaching in Columbus constitutes contributions to the faculty member’s TIU. Because such courses do not constitute contributions to teaching at Ohio State [campus name], the dean and director and the [campus name] Promotion and Tenure Committee *[or eligible faculty]* will not evaluate them.

Excellence in teaching, research, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the [American Association of University Professors' Statement on Professional Ethics.](https://www.aaup.org/report/statement-professional-ethics)

Reviews for promotion to associate professor with tenure are conducted first at the [campus name], with an emphasis on teaching and service, and then at the TIU on the Columbus campus, with an emphasis on research, scholarly/creative activity, and service. Faculty need to be aware of the criteria and documentation requirements of both the [campus name] as defined in this document and the TIU as defined in the [TIU’s Appointments, Promotion and Tenure document](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure).

Finally, the university’s [Workload Guideline](https://faculty.osu.edu/faculty-support/equitable-policies/faculty-workload-guideline) clarifies that if TIUs have tenure track faculty on regional campuses, then their workload expectations and APT documents should align to allow faculty to achieve the specific criteria required for promotion, given the higher proportion of time allocated to teaching duties for regional campus faculty, as compared to tenure track faculty on the Columbus campus.

*In this section,* *a campus should list the teaching and service criteria and evidence it has identified as supporting promotion to associate professor with tenure. This information may be presented in chart form using the models that follow, or in any other format that* *clearly sets forth, on the one hand, the campus’ criteria for promotion with tenure and, on the other, the evidence showing that the criteria have been met.* *The content in the charts below is not meant to be exhaustive or applicable to all disciplines but is provided to demonstrate the types of criteria and evidence that may support promotion to associate professor with tenure.*

**Teaching**

Faculty must consistently provide excellent teaching. In evaluating performance in teaching, documented evidence regarding course and instructor evaluation will be considered. In this regard, student opinions and judgments, appropriately documented and accompanied by interpretive information, are essential. Every student in every classroom course must be provided an opportunity to complete a confidential evaluation of the instruction and the instructor. The standard instrument for all courses at [campus name] is the university’s SEI. The dean and director will consider discursive comments from the SEIs if they are collected, as well as summaries of Student Discursive Forms (SDFs) if used. For courses delivered via distance‐education technology, the dean and director may permit exceptions to the standard form.

|  |  |
| --- | --- |
|  | **Teaching**  |
|  | **Criteria**  | **Types of Evidence Demonstrating Impact and Showing Criteria Have Been Met** |
| 1.  | A clear and complete syllabus incorporating sound, current subject knowledge and establishing explicit outcomes for student learning, for each course taught  | * Syllabi on record
 |
| 2.  | Developed new and effective instructional techniques and materials appropriate for the objectives and level of the course  | * Creation of or revisions to syllabi, exams, lab exercises, case studies, field trip activities, problem sets, computer software demonstrate up-to-date thinking on subject content
* Attended continuing education (e.g., seminar, webinar, workshop, etc.) on topic or focus area and adopted new materials in course
 |
| 3.  | Demonstrated continuing efforts to enhance teaching quality through professional development activities. Ideally, such efforts occur regularly (e.g., two hours per year, on average). Periods of time in which no training occurs must not exceed three years.  | • Completed six hours of teaching training approved by the dean and director. Activities might include programs provided by the campus, Drake Institute, NSF, professional organizations in the faculty member’s discipline, or organizations serving higher education (e.g., the American Association of Colleges and Universities, the Gardner Institute, etc.), or a minimum of three hours of self-identified activities to enhance one’s pedagogy.  |
| 4.  | Demonstrated continuing efforts to enhance teaching practices fostering diversity, equity, and inclusion. Ideally, such efforts occur regularly (e.g., one hour per year, on average). Periods of time in which no training occurs must not exceed three years. (Hours accumulated toward this criterion also count toward fulfillment of Criterion 3.)  | • Completed three hours of inclusive teaching training approved in advance by the dean and director. Activities might include programs provided by the campus, Drake Institute, NSF, professional organizations in the faculty member’s discipline, or organizations serving higher education (e.g., the American Association of Colleges and Universities, the Gardner Institute, etc.), or a minimum of three hours of self-identified activities to enhance one’s pedagogy.  |
| 5.  | Demonstrated ability to organize and present class material effectively with logic, conviction and enthusiasm, and provide appropriate and timely feedback to students throughout the instructional process | • Peer evaluations document excellence in these areas or show positive trajectories that reach excellence* SEI items 1, 3, 5, 6, 8 and 9 scores are commonly equal to or greater than 4.0 or show a positive trajectory that reaches that level
* Summaries of student comments document excellence in these areas or show positive trajectories that reach excellence
* Syllabi
 |
| 6.  | Treated students with respect and courtesy  | •  | Peer evaluations commonly highlight positive interaction with students or show a positive trajectory that reaches excellence in this area  |
|  |  | •  | SEI items 3, 6 and 8 are commonly equal to or greater than 4.0 or show a positive trajectory that reaches that level  |
|  |  | •  | Summaries of student comments document excellence in these areas or show positive trajectories that reach excellence  |
| 7.  | Demonstrated creativity in the use of a variety of teaching strategies to create an optimal learning environment  | •  | Peer evaluations commonly highlight positive interaction with students or show a positive trajectory that reaches excellence in this area  |
|  |  | •  | SEI items 2, 4 and 8 scores are commonly equal to or greater than 4.0 or show a positive trajectory that reaches that level  |
|  |  | •  | Summaries of student comments document excellence in these areas or show positive trajectories that reach excellence  |
| 8.  | Demonstrated use of student feedback to enhance teaching  | •  | Narrative in the dossier explaining specific steps the candidate has taken to use feedback from students to enhance teaching  |

# Service

University rules require faculty members to demonstrate leadership and effective contributions in their service activities. During a faculty member’s probationary period, their annual service record should show increasing evidence of leadership and effective contributions to the campus.

|  |
| --- |
| **Service**  |
| **Criteria**  | **Types of Evidence Demonstrating Impact and Showing Criteria Have Been Met**  |
| 1. Demonstrated excellence in service to the campus  | • Service narrative in the dossier provides a detailed, chronological explanation of the candidate’s contributions to any campus committees or councils on which they have served; the narrative must provide descriptions of the candidate’s specific activities  |
| 2. Demonstrated leadership, engagement, or initiative in service to the campus  | • Service narrative in the dossier includes a description of service in at least one of the following roles:* Chair of a subcommittee, committee, or council
* Chair of a task force appointed by the administration
* Efforts to organize a special event, program, or initiative that has widely recognized and lasting value to the campus
* Efforts to assist in the creation of an important initiative, project, or committee
* Substantive engagement in campus service
 |

## 2. [Promotion to Professor](#_2_Promotion_to)

Faculty Rule [3335‐6‐02 (C)](https://trustees.osu.edu/university-faculty-rules/3335-6) 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 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, and a record of continuing professional growth. The same criteria of excellence in teaching and service apply here as for promotion to associate professor, but judgments of the balance that exists among the criteria should fully recognize the particular talents and assigned duties of the individual concerned, as specified by Faculty Rule [3335-6-02](https://trustees.osu.edu/bylaws-and-rules/3335-6).

Reviews for promotion are conducted first at the [campus name], with an emphasis on teaching and service, and then at the TIU on the Columbus campus, with an emphasis on research, scholarly/creative activity, and service. As with reviews for promotion with tenure, faculty need to be aware of the criteria and documentation requirements of both the [campus name] as defined in this document and the TIU as defined in the [TIU’s Appointments, Promotion and Tenure document](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure).

## 3. [Clinical/Teaching/Professional Practice Faculty](#_3_Clinical/teaching/professional_pr)

**Promotion to Assistant Clinical/Teaching Professor or Professional Practice Assistant Professor.** For promotion to assistant clinical/teaching professor or professional practice assistant professor, a faculty member must complete his/her doctoral degree and meet any required licensure/certification in his or her specialty and be performing satisfactorily in teaching, professional practice, and service. The faculty member’s TIU may specify additional criteria. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

**Promotion to Associate Clinical/Teaching Professor or Professional Practice Associate Professor.** For promotion to associate clinical/teaching professor or professional practice associate professor, a faculty member must show convincing evidence of excellence as a teacher and a provider of effective service; as appropriate, 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 [campus name]. Specific criteria in teaching and service for promotion to associate clinical/teaching professor and to professional practice associate professor are similar to those for promotion to associate professor with tenure. The faculty member’s TIU may specify additional criteria. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

**Promotion to Clinical/Teaching Professor or Professional Practice Professor.** For promotion to clinical/teaching professor or professional practice professor, 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 (as appropriate); leadership in service to [campus name] and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice. The faculty member’s TIU may specify additional criteria. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

# 4 [Research Faculty](#_4_Research_faculty)

**Promotion to Research Associate Professor.** For promotion to research associate professor, a faculty member must have a substantial record of high-quality focused research consistent with an appointment devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged by external evaluators as having substantial positive impact on the field. A record of continuous peer reviewed extramural and/or commercial funding is required along with evidence of a growing national reputation. The faculty member’s TIU may specify additional criteria. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

**Promotion to Research Professor.** For promotion to research professor, a faculty member must have a national or international reputation built on an extensive body of high-quality publications and with demonstrated impact on the field. A record of continuous peer-reviewed extramural and/or commercial funding is required, along with demonstrated research productivity as a result of such funding. The faculty member’s TIU may specify additional criteria. Promotion will entail generation of a renewed contract. There is no presumption of a change in contract terms.

# 5 [Associated Faculty](#_6_Associated_faculty_3)

**Promotion to Adjunct Associate Professor and Adjunct Professor.** The relevant criteria for the promotion of adjunct faculty members shall be the same as those for the promotion of tenure-track, clinical/teaching/professional practice, or research faculty, as appropriate to the appointment, above.

**Promotion to Associate Professor and Professor with FTE below 50%.** The relevant criteria for the promotion of associated faculty members with tenure-track titles are those for the promotion of tenure-track faculty above.

**Promotion to Senior Lecturer**. Lecturers may be promoted to senior lecturer if they meet the criteria for appointment at that rank as described in Section IV.A.4.

**Promotion of Visiting Faculty.** Visiting faculty members are not eligible for promotion.

# B. [Procedures](#_7_Regional_campus_1)

This section describes only the process of review by [campus name] and is written to supplement the official university guidelines on promotion and tenure as set forth in Faculty Rule [3335-6-04](https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Chapter 3 of the [*Policies and Procedures Handbook*.](https://oaa.osu.edu/policies-and-procedures-handbook)

## 1. [Responsibilities of Tenure-Track and Clinical/Teaching/Professional Practice Candidates](#_1_Responsibilities_of)

**a.** **[Dossier](#_a_Dossier)**

Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs [dossier outline](https://faculty.osu.edu/sites/default/files/documents/Core-Dossier-Outline-Instruction.pdf). Candidates should not sign the Office of Academic Affairs [Candidate Checklist](https://oaa.osu.edu/sites/default/files/uploads/forms/Form-105-fillable.pdf) without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist. While the Promotion and Tenure Committee *[or eligible faculty]* makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that they are to complete. The documentation for promotion and tenure or promotion is described in full in each TIU’s [Appointments, Promotion, and Tenure document](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure).

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, reappointment, or the last five years, whichever is more recent, to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion or reappointment if it believes such information would be relevant to the review. Any such material should be clearly indicated.

For scholarship documentation, a full history of publications and creative work should be included, as this information provides context to the more recent and relevant research record and/or demonstrates scholarly independence. Information about scholarship produced prior to the start date (for probationary faculty) or date of last promotion or reappointment may be provided. Any such material should be clearly indicated. However, it is the scholarship performance since the start date or date of last promotion that is to be the focus of the evaluating parties.

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, reappointment, or the last five years, whichever is more recent, to present. The eligible faculty may allow a candidate to include information prior to the date of last promotion or reappointment if it believes such information would be relevant to the review. Any such material should be clearly indicated.

**b** **[Appointments, Promotion, and Tenure (APT) Document](#_b_Appointments,_promotion,)**

Candidates must indicate the APT document under which they wish to be reviewed. Candidates may be reviewed using their regional campus and TIU’s current APT documents; or, alternatively, they may elect to be reviewed under either (a) the APT documents that were in effect on their start date, or (b) the APT documents that were in effect on the date of their last promotion (or last reappointment in the case of clinical/teaching/professional practice and research faculty), whichever of these two latter documents is the more recent. However, for tenure-track 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.

If a candidate wishes to be reviewed under an APT other than the current approved version available [here](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure), a copy of the APT document under which the candidate has elected to be reviewed must be submitted when the dossier is submitted to the TIU.

**c** **[External Evaluations](#Externalevals)**

If external evaluations are required, a candidate is responsible for reviewing the list of potential external evaluators developed according to the guidelines of the candidate’s TIU. 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. The TIU head decides whether removal is justified.

## 2. [Responsibilities of the Promotion and Tenure Committee](#ResponsibilitiesPTCmte) *[or the eligible faculty, if the campus does not delegate these responsibilities to a Promotion and Tenure Committee; see also Eligible Faculty Responsibilities below]*

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

* To review this APT document annually and recommend proposed revisions to the faculty.
* To select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs [annual procedural guidelines](https://oaa.osu.edu/sites/default/files/links_files/PODDuties.pdf).
* To 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.
* To meet with each candidate for clarification as necessary and provide the candidate an opportunity to comment on his/her/their dossier. This meeting is not an occasion to debate the candidate's record.
* To draft written evaluations for faculty members being considered for promotion and/or tenure. So that the committee can accomplish its work, it shall request in writing that each faculty member to be evaluated submit information upon which the committee may make its judgments. These might include copies of quantitative and qualitative student evaluations as well as copies of any other course evaluation materials, including letters from peer evaluators, copies of all syllabi, grade distributions, and a self-evaluation. The committee shall interview each candidate to review pertinent data prior to the drafting of the committee's letter of evaluation.
	+ The committee shall confine its investigations to an analysis of the faculty member's teaching and service, and to those qualities relevant to teaching and service; however, it may comment on scholarship. Criteria for evaluating teaching, service, and scholarship shall be those given in the University Faculty Rule[3335-6](https://trustees.osu.edu/bylaws-and-rules/3335-6)[.](https://trustees.osu.edu/rules/university-rules/chapter-3335-6-rules-of-the-university-faculty-concerning-faculty-appointments-reappointments-promotion-and-tenure.html)
	+ The committee’s draft letter shall be available for review by the eligible faculty. A meeting of the eligible faculty, called by the chair of the Promotion and Tenure Committee, shall be held to discuss the draft and to vote on the case.
	+ Voting takes place by secret ballots that are distributed at the meeting. Faculty members who are not present cannot vote in absentia unless they participate by conference call or video link. All ballots must be returned to the Promotion and Tenure Committee chair at the conclusion of the meeting. The chair tallies the votes.
* To meet following the meeting of the eligible faculty to revise the draft letter using comments and suggestions from that meeting. The eligible faculty vote and a summary of the faculty perspectives expressed during the meeting must be included in the letter.
* To transmit the letter of evaluation and recommendation to the dean and director and to the faculty member’s TIU head.

# 3. [Responsibilities of the Eligible Faculty](#_3_Responsibilities_of)

The responsibilities of the eligible faculty are as follows:

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

**4.** **[Responsibilities of the Dean and Director](#_4_Responsibilities_of)**

The responsibilities of the dean and director are as follows:

* 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 charge each member of the eligible faculty to conduct reviews free of bias and based on criteria.
* 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. At the request of the eligible faculty, the dean and director will leave the meeting to allow open discussion among the eligible faculty members.
* To review the letters prepared by and the recommendations of the Promotion and Tenure Committee and to prepare an independent letter of evaluation.
	+ To forward that letter and the written evaluation and recommendation resulting from the regional campus review to the TIU head, from which point the review follows the procedures described for the Columbus campus faculty in the TIU’s [Appointments, Promotion, and Tenure document](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure).
	+ A request to promote requires agreement by the dean and director and the TIU head.

**5.** **[Procedures for Research Faculty](#_5_Procedures_for)**

The promotion review of research faculty takes place on the Columbus campus and follows the same procedures as those described for Columbus campus research faculty in the TIU’s [Appointments, Promotion, and Tenure document](https://oaa.osu.edu/appointments-reappointments-promotion-and-tenure). Following the review, the TIU head will consult with the dean and director. A request to promote requires agreement by the dean and director and the TIU head.

**6.** **[Procedures for Associated Faculty](#_6_Procedures_for)**

Adjunct faculty and associated faculty with tenure-track titles for whom promotion is a possibility follow the promotion guidelines and procedures detailed in Section VI.B above. The decision of the dean and director is final.

The dean and director or designee reviews lecturers for whom promotion to senior lecturer is a possibility. The decision of the dean and director (or designee) is final.

## VII. [Promotion and Tenure and Reappointment Appeals](#_VII_Promotion_and)

Performance that is adequate for annual reappointment may not be adequate for the granting of promotion or tenure with promotion for faculty on the tenure track or, in the case of clinical/teaching/professional practice or research faculty, for securing a reappointment.

Faculty Rule [3335-6-05](https://trustees.osu.edu/university-faculty-rules/3335-6) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05.](https://trustees.osu.edu/bylaws-and-rules/3335-5)

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](#_VIII_Seventh-year_reviews)

Faculty Rule [3335-6-05](https://trustees.osu.edu/university-faculty-rules/3335-6) 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](#_IX_Procedures_for)

[Campus name] values excellence in teaching across disciplines and at all levels of instruction. Student and peer evaluations of teaching provide tools for assessing faculty teaching effectiveness and for providing faculty with regular opportunities for improvement.

# A. [Student Evaluation of Teaching](#_A_Student_evaluation)

Use of the Student Evaluation of Instruction (SEI) form is required in every course offered on this campus. Faculty members should choose a day late in the semester when attendance is likely to be high if they are 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](#_B_Peer_evaluation)

The *[state the responsible officer]* oversees the campus’ peer evaluation of teaching process. *[State how the peer evaluators are selected.]* Peer teaching evaluation is comprehensive and includes classroom visits and review of course syllabi, instructional materials, assignments, SEIs, summaries of student discursive forms, or exams. Classroom visit protocol includes completing a form approved by the dean and director and/or submitting a narrative evaluation in the form of a letter or memo to the *[responsible officer]*. The instructor receives a copy of the evaluation from the evaluator. Faculty members must receive evaluations from other faculty members at [campus name].

## Probationary Faculty

The teaching of probationary tenure track and clinical/teaching/professional practice faculty must be reviewed at least once per year during the probationary period, with the goal of adequately assessing teaching at all levels of instruction to which the faculty member is assigned. When assistant professors are reviewed for tenure and promotion, they are required to have a minimum of five peer evaluations of teaching from the probationary period.

Peer evaluations of teaching for probationary faculty are comprehensive and include, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. Faculty under review should provide peer reviewers with the course syllabus and other materials well in advance of the classroom visit or visits. They should also provide reviewers with a list of preferred visitation dates. In addition to preparing a written report for the faculty member’s file, the reviewer should meet with the faculty member following the classroom visitation for a more informal consultation about their teaching effectiveness. Although there is no requirement that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, the campus will attempt to follow such a model to the extent possible.

Written reports of peer evaluation of teaching should focus not only on classroom performance but also on curricular choices, implicit and explicit goals of instruction, quality and effectiveness of testing tools, and engagement with current disciplinary knowledge. Written reports should be completed by the end of the semester of review and submitted to the *[responsible officer]*, copied to the faculty member. The faculty member may provide written comments on this report and the peer reviewer may respond in writing to those comments. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier.

## Tenured and Nonprobationary Faculty

The teaching of tenured associate professors and non-probationary associate clinical/teaching professors and professional practice associate professors is reviewed at least once every other year, with the goal of assessing teaching at all levels of instruction to which the faculty member is assigned. Reviews follow the format described above for probationary faculty. To be considered for promotion to professor, associate professors must have two peer evaluations of teaching conducted in the year prior to the date of their review.

The teaching of tenured professors and non-probationary clinical/teaching/professional practice professors and is reviewed at least once every two years, with the goal of assessing teaching at all levels of instruction to which the faculty member is assigned during the year of the review.

**Additional Peer Evaluations of Teaching**

Peer teaching evaluations also may be conducted upon the request of the dean and director or the faculty member. These may focus on the specific aspects of instruction requested by the dean/director or faculty member and may or may not include class visitations. These are intended for the following purposes:

* to review, upon the dean and 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 dean and director is informed that the review took place, but the report is given only to the faculty member who requested the review.

## *For additional information on the peer review process, contact the* [*Michael V. Drake Institute for Teaching and Learning*](https://drakeinstitute.osu.edu/) *and the* [*Office of Distance Education and eLearning*](https://odee.osu.edu/)*.*