

**APPOINTMENTS, PROMOTION AND TENURE**  
**Criteria and Procedures for the Department of Biochemistry, College of Biological Sciences**  
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*Note: Faculty rules incorporated in this document are excerpted from Chapter 3335-6: Additional Rules of the University Faculty Concerning Faculty Appointments, Reappointments, Promotion, and Tenure, as approved by the University Senate on April 6, 1996 and by the Board of Trustees on May 3, 1996. That entire chapter applies to all faculty whether excerpted here or not. The relevant Faculty Rules concerning regular research track faculty appointment and nonreappointment, and promotion are Rules 3335-7-30 to 3335-7-40.*

## PREAMBLE

This document supplements Chapter 6 of the Rules of the University Faculty (Additional Rules of the University Faculty Concerning Faculty Appointments, Reappointments, Promotion, and Tenure), the Office of Academic Affairs procedural guidelines for promotion and tenure reviews, and any additional policies established by the College and University. Should these rules and polices change, the department shall follow those new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed and either reaffirmed or revised at least every four years on appointment or reappointment of the Department Chair.

The Dean of the College and the Provost of the University must approve this document. In approving this document, the Dean and Provost accept the mission and criteria of the department and delegate to it the responsibility to apply high standards in evaluating continuing faculty and candidates for positions in relation to its mission and criteria.

The faculty and the administration are bound by the principles articulated in the following Faculty Rule.

Faculty Rule 3335-6-01 *General considerations.*

- (A) *Peer review provides the foundation for decisions regarding faculty appointment, reappointment, and promotion and tenure (except when the provisions of paragraph (H) of rule 3335-6-03 of the Administrative Code are invoked.) Peers are those faculty who can be expected to be most knowledgeable regarding an individual's qualifications and performance--normally tenure initiating unit colleagues. Because of the centrality of peer review to these review processes, faculty vested with responsibility for providing peer review have an obligation to participate fully and knowledgeably in review processes, to exercise the standards established in faculty rule 3335-6-02 of the Administrative Code and other standards specific to the academic unit and discipline, and to make negative recommendations when these are warranted to maintain and improve the quality of the faculty. Recommendations by the faculty vested with the responsibility for providing peer review will be accepted unless they are not supported by the evidence presented regarding how the candidate meets the standards established in faculty rule 3335-6-02 of the administrative code and other standards specific to the academic unit and discipline. When, for the reasons just stated, a decision regarding faculty appointment, reappointment, or promotion and tenure differs from the recommendation of the faculty, the administrator or body making that decision will communicate in writing to the faculty body that made the recommendation the reasons that the recommendation was judged not to be supported by the evidence.*
- (B) *In accordance with a policy of equality of opportunity, decisions concerning appointment, reappointment, and promotion and tenure shall be free of discrimination as to race, creed, religion, national origin, age, sex, disability, or Vietnam-era veteran status, or sexual orientation. (B/T 10/5/84, B/T 4/8/88, B/T 11/2/90, B/T 5/3/96, B/T 7/9/2004)*

## DEPARTMENT MISSION

The mission of the Department of Biochemistry is to conduct integrated research, classroom and individualized instruction in biochemistry, and to provide service to the university as well as local, state, and professional communities. The faculty are committed to providing a well-balanced program of undergraduate and graduate education in line with the university's mission and vision statement as a major public, research-oriented university.

The undergraduate teaching mission of the department involves both general, service-oriented courses in basic biochemistry designed to contribute to the education of a diverse student body as well as more specialized courses designed for students majoring in biochemistry and closely related disciplines. Research is an integral part of our mission and contributes in a significant fashion to our teaching goals, particularly in graduate education and for individualized research studies for undergraduate students. Research is essential for the continued growth of knowledge and for developing concepts and methodologies that are fundamental in the training of young scientists.

## APPOINTMENTS

### **Criteria: Tenure track faculty**

The relevant Faculty Rules are:

*3335-6-02. Criteria for appointment, reappointment, and promotion and tenure.*

(A) *The Ohio state university has as its stated mission "the attainment of international distinction in education, scholarship, and public service." For purposes of faculty performance reviews under these rules "public service" is broadly defined to include administrative service to the university, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the university and shall be referred to simply as "service" for the remainder of this chapter. For purposes of faculty performance reviews under these rules "scholarship" is broadly defined to include "research, scholarly, and creative work."*

*Each tenure initiating unit is responsible for establishing criteria for appointment, reappointment, and promotion and tenure that are consistent with this mission and for ensuring that every faculty appointment, reappointment, and promotion and tenure recommendation is consistent with this mission.*

*Appointment decisions for regular faculty positions, as defined in rule 3335-5-19 of the Administrative Code, must be based on criteria that reflect strong potential to attain tenure and advance through the faculty ranks. A minimum requirement for appointment at or promotion to the rank of assistant professor or a higher rank is an earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience. Appointments at the rank of instructor should normally only be made when the offered appointment is that of assistant professor but the appointee has not completed the required terminal degree at the onset of the appointment.*

3335-6-0. Probationary service, duration of appointments for regular faculty

(B) Length of probationary period.

- (1) *An appointment as professor or associate professor will generally entail tenure. However, a probationary period not to exceed four years may be granted by the office of academic affairs upon petition of the tenure initiating unit and college. For the petition to be approved, a compelling rationale must be provided regarding why appointment at a senior rank is appropriate but tenure is not. All appointments to the rank of associate professor or professor require prior approval of the executive vice president and provost.*

*An appointment to the rank of instructor is always probationary and may not exceed three years. An instructor must be approved for promotion to assistant professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year. When an instructor is promoted to the rank of assistant professor, prior service credit will be granted for time spent as an instructor unless the faculty member indicates in writing at the time of the promotion that he or she does not wish such credit. This written request must be forwarded to the office of academic affairs through the dean of the college so that tenure records may be adjusted accordingly.*

*An appointment to the rank of assistant professor is always probationary and may not exceed six years, including prior service credit. An assistant professor is reviewed for promotion and tenure no later than the sixth year of appointment as an assistant professor and informed by the end of the sixth year as to whether promotion and tenure will be granted at the beginning of the seventh year.*

Although there will be variations in the specific criteria established for any given faculty search, the following criteria apply to all searches for tenure track faculty:

- (1) Earned Ph.D. or equivalent in a field relevant to the mission of the Department and the specific research area(s) designated for the position;
- (2) Postdoctoral research experience;
- (3) Demonstrated ability to carry out modern research as evidenced by publications in refereed journals of original research. Potential to attract extramural support for research;
- (4) Demonstrated potential to develop into an accomplished teacher, as evidence by evaluations of prior teaching or other relevant experiences;
- (5) Commitment to excellence in undergraduate and graduate education in a major research university setting.

### **Criteria: Auxiliary faculty**

In accordance with Faculty Rule 3335-5-19 (D), "*Auxiliary faculty*" are persons with adjunct titles, clinical titles, visiting titles, and lecturer titles; also professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than fifty per cent service to the university. Persons with regular faculty titles may not hold auxiliary titles. Persons holding auxiliary titles are not eligible for tenure, may not vote at any level of governance, and may not participate in promotion and tenure matters.

The criteria governing appointments of auxiliary faculty are identical to those indicated below for courtesy appointments.

### **Criteria: Courtesy appointments for regular faculty**

The Department of Biochemistry may occasionally appoint regular faculty members of other academic units at The Ohio State University as courtesy or non-salaried faculty. The criteria are similar to those used for the appointment of regular salaried faculty in the department including evidence of a sustained program of research and other relevant professional activity. Such non-salaried appointments are to be made with the primary intent of strengthening the research and academic programs and missions of the Department of Biochemistry.

Faculty members holding courtesy appointments are expected to be active participants in departmental activities including teaching, research, student mentoring, and service. As such, they are expected to contribute to the general research goals and activities of the Department. Non-salaried faculty members are eligible to serve as research advisors for departmental graduate and undergraduate students. However, the Department will not provide GTA or GRA support. Teaching responsibilities will be negotiated with the Department Chair, but can be expected to represent approximately five lectures per year or the equivalent. Teaching activities will normally include participation in one or more courses offered by the Department. However, other instructional activities may qualify. Non-salaried faculty are also expected to serve on departmental and student examination committees, to participate in student and faculty recruiting, to attend faculty meetings and seminars, to host seminar speakers, and to participate in various department functions and organized activities.

Non-salaried faculty members are encouraged to attend faculty meetings and enter into discussions but will not be eligible to vote on issues requiring a formal vote. Non-salaried faculty members are not eligible to serve on the Promotion and Tenure Committee; however, they may be asked for input in the review process.

### **Criteria: Research track faculty**

*The relevant Faculty Rules concerning regular research track faculty appointment and nonreappointment, and promotion are Rules 3335-7-30 to 3335-7-40.*

The Department may occasionally appoint research track faculty. These appointments are to be made with the primary intent of strengthening the research mission of the Department while providing the individual with the opportunity to establish themselves

as an independent researcher. The primary duty of regular research track faculty is to conduct research. They are not expected or encouraged to teach. Appointments to the research faculty track are fixed term (one year) contract appointments that do not entail tenure. Titles will be Research Professor, Research Associate Professor, and Research Assistant Professor. Regular research track faculty must comprise no more than 20% of the tenure-track faculty in the Department.

The minimum requirements for appointment at the rank of Research Assistant Professor are: an earned doctoral or other terminal degree in biochemistry or related discipline, evidence of having brought research through to completion as publications in peer-reviewed journals, and the potential to attract significant extramural support for research. The minimum requirement for appointment at the level of Research Associate Professor or Research Professor will be those indicated above for Research Assistant Professor and, in addition, a substantial record of scholarship and independent funding consistent with what would be expected for a regular tenure track faculty appointment at that level. Appointments at the rank of Research Assistant Professor require approval of the College. Appointments at the rank of Research Associate Professor or Research Professor require approval of the College and the Office of Academic Affairs as set forth in *Rule 3335-7-33*.

Individuals appointed to research track faculty positions are normally sponsored initially by a tenured faculty member who holds a full or partial salaried appointment in the Department. Research track faculty are expected to apply for external grants as the Principal Investigator (PI) or Co-PI and to garner independent financial support for their research programs (including their own salary and benefits) entirely from extramural funding within a finite time, typically 3-4 years for a Research Assistant Professor, less for those appointed at a higher level, as specified in the letter of offer. The research project(s) should be distinctly separate from that of the sponsoring faculty member. As part of the external grant application(s), the Department will attempt to commit sufficient laboratory space separate from that of the sponsoring faculty member for the conduct of the research faculty member's research should funding be obtained, but only to the extent that such space is available and does not conflict with the assignment of research space to existing and newly hired tenure-track faculty. Until such external funding is available, the sponsoring faculty member must commit to provide use of some of his/her research space, laboratory equipment, reagents and supplies by the research track faculty person. The Department will make its common equipment available for use by research track faculty to the extent that this use will not interfere substantially with the research activities of regular tenure-track faculty.

A research track faculty member may serve as the research advisor to both undergraduate students and graduate students pursuing M.S. and Ph.D. degrees. The Department will not generally provide GTA support for such graduate students, however. Though individuals holding these appointments should participate in faculty meetings, they will not have voting privileges in the faculty governance of the Department and are not expected or encouraged to participate in classroom instruction. Any research publications that result from his work during this appointment must acknowledge his affiliation with the Department of Biochemistry.

Tenure-track and tenured faculty may transfer from the tenure faculty track to the research track, if appropriate to the individual's circumstances and the needs of the

department. The request for transfer must be initiated by the tenure-track faculty member in writing and must state clearly how the individual's career goals and activities have changed. When a tenured faculty member transfers to the regular research track, tenure is relinquished though rank is retained. The Chair, the Dean of the College, and the Executive Vice President and Provost must approve all transfers (see *Rule 3335-7-38*). Transfers from the regular research track to the tenure track are not permitted. However, regular research track faculty may apply for tenure-track positions and compete in regular national searches for such positions (see *Rule 3335-7-39*).

### **Procedures: Tenure track faculty**

Recruitment of a tenure track faculty member typically will occur by way of a national search designed to locate and attract the strongest possible candidates in the field. The position will be advertised in national and international journals and by electronic media, and the department will make every effort to bring the position to the attention of as diverse a group of qualified scholars as is possible.

The Chair of the Department will appoint a Search Committee for each search and designate both a chair and an Affirmative Action Advocate for the committee. The Search Committee will have the responsibility to advertise the position, solicit applications and nominations, establish criteria for evaluation of applications, and recommending a short list of highly qualified candidates to the faculty of the department.

Once the Search Committee has identified the candidates for the short list, the faculty members of the department will have access to the files of all applicants (not just those of the short list). Following a review period, a faculty meeting will be held and the Search Committee will explain the rationale for their selection of 3-6 applicants whom they recommend to be interviewed. Following discussion, a list of applicants to be interviewed will be approved by a majority faculty vote. This list of candidates along with background information will be provided to the Dean of the College for approval prior to the interview process.

The Search Committee, in cooperation with the Chair of the Department, will arrange for and host the interview visits. Interviews must include the following components: (1) a research seminar, (2) a presentation of future research plans, (3) meetings with individual faculty, (4) Meetings with the Department Chair and Dean (or designate), and (5) meeting with a group of graduate students and postdoctoral researchers.

Once the interviews have been completed, all of the salaried faculty members will meet to determine if any or all of the candidates are acceptable, and to rank the acceptable candidates to determine the order in which offers can be made. The responsibility for making formal offers and for negotiating compensation, space, and set up funding will reside with the Department Chair, in consultation with the Dean. All appointments to the rank of associate professor or professor require prior approval of the Provost. An appointment as professor or associate professor will generally entail tenure. However, a probationary period not to exceed four years may be granted by the office of academic affairs upon petition by the department, which must provide a compelling rationale why appointment at a senior rank is appropriate but tenure is not.

All offers of prior service credit require the prior approval of the Office of Academic

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

After the search is concluded, the chair of the Search committee will forward documentation of all Search Committee meetings and actions to the Department Chair for inclusion in a report detailing the search.

### **Procedures: Auxiliary faculty**

Individuals seeking auxiliary appointments should apply to the Chair of the Department. The formal letter of application should summarize those aspects of the candidate's professional accomplishments and experience that are relevant to the Department, and detail ways in which the candidate anticipates participating in Departmental activities. A current CV and copies of recent reprints should accompany the letter of application.

The application letter and accompanying materials will be made available for faculty review for a minimum of three weeks. At the next faculty meeting after this period, the faculty will discuss the case and vote on whether or not to offer the candidate an adjunct position, and if so, at what rank.

### **Procedures: Courtesy appointments for regular faculty**

Regular faculty in other academic units at The Ohio State University holding the graduate faculty status of M or P are eligible to apply for courtesy or non-salaried appointments in the Department of Biochemistry. The application process includes submitting to the Department Chair a current *Curriculum Vitae*, copies of several recent research articles, and a cover letter explaining the reasons for the application and a clear indication as to how the applicant intends to contribute to the mission of the Department including potential research interactions, teaching interests, and other activities. Evidence must be provided that the application is made with the full knowledge and support of the applicant's department chair or supervisor. These materials will be made available for department faculty review for a minimum of three weeks. The applicant will also present a formal research seminar to the Department prior to the vote by the faculty.

The decision to admit a courtesy faculty member must be approved by a two-thirds majority of faculty holding full or partial salaried appointments of greater than or equal to 20% in the Department. The appointment will be for a period of three years and is renewable for additional three-year terms. As part of the renewal process, the non-salaried faculty member must provide clear evidence that the courtesy appointment has been beneficial for both the individual and the Department and that a continuation is justified. Continuation of the appointment for another three-year term must be approved by a two-thirds majority of the salaried faculty in the Department. The Department Chair will provide the non-salaried faculty member with a written summary of the substance and recommendation of that review.

### **Procedures: Research track faculty**

Individuals seeking research track faculty appointments should initiate the process by discussing their interest with a potential faculty sponsor and the Department Chair. The

application should include a cover letter that states the reasons for seeking the appointment, summarizes the candidate's professional accomplishments and experience that are relevant to the Department, and details a plan and time frame for obtaining external funding within the ultimate time frame of 3-4 years for a Research Assistant Professor or less for higher ranks. A current CV and copies of recent reprints should accompany the letter of application. In addition, in the case when the applicant has not already established sufficient independent funding, the application must include a letter from a sponsoring faculty member supporting the individual's application and committing resources that include the applicant's salary and benefits, a reasonable research budget, and use of sponsor's research laboratory space, equipment, and facilities at least until such time that these are provided for by the applicant's independent external funding.

Applications must first be reviewed by the Promotion and Tenure Committee of the Department. The application letter and accompanying materials will be made available for faculty review for a minimum of three weeks. During this time, the candidate will present a formal research seminar to the Department. At the next faculty meeting after this period, the faculty will discuss the case and vote on whether or not to offer the applicant a research track position, and if so, at what rank.

## **PROMOTION AND TENURE COMMITTEE**

The Promotion and Tenure Committee consists of all tenured faculty members holding at least a 50% salaried appointment in the Department, excluding the Chair of the Department, the Dean and Associate Deans of the College. Members must hold a rank higher than the candidate being reviewed; thus, the associate professors and professors constitute the Promotion and Tenure Committee for review of assistant professors, whereas those holding the rank of professor constitute the Committee to review associate professors. The faculty elect a professor as chair of the Promotion and Tenure Committee. A faculty member should not participate in a particular review if there exists a conflict of interest. Faculty members with a familial or comparable relationship with a candidate should not participate in the review of that candidate. In addition, a close professional relationship may give rise to a conflict of interest. For example, it may be difficult for a faculty member to objectively review a candidate when the faculty member is co-author on a significant portion of the candidate's publications or when the faculty member is dependent in some way on the candidate's professional services.

## **ANNUAL REVIEWS**

The Faculty Rule relevant to annual reviews of probationary faculty is 3335-6-03.

(A) *Annual review of probationary tenure-track faculty members.*

(1) *At the time of appointment, probationary tenure-track faculty members shall be provided with all pertinent documents detailing tenure initiating unit, college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary tenure-track faculty members shall be provided with copies of the revised documents.*

(2) *During a probationary period a tenure-track faculty member shall be reviewed*

*annually in accordance with this rule and with policies of the tenure initiating unit, college and university. The annual review should encompass the faculty member's performance in teaching, in scholarship, and in service; as well as evidence of continuing development. The involvement of tenure initiating unit faculty in annual reviews is strongly encouraged. External evaluations of the faculty member's work, required for tenure and promotion reviews, may be obtained for any annual review if judged appropriate by the faculty review body or tenure initiating unit chair. The tenure initiating unit chair shall inform probationary faculty members at the time of initial appointment, and in a timely fashion each year thereafter, when the annual review will take place and provide a copy of the office of academic affairs dossier outline to be completed by the faculty member in reporting accomplishments to date. At the completion of the review the tenure initiating unit chair shall provide the faculty member and the dean of the college with a written assessment of the faculty member's performance and professional development. The assessment should include both strengths and weaknesses, as appropriate. If the chair's recommendation is to reappoint the faculty member to another probationary year of service, that recommendation shall be final. A recommendation from the chair to not reappoint the faculty member to another probationary year requires a review that follows fourth year review procedures (see paragraph (G) of this rule) and the dean shall make the final decision in the matter. All annual review letters to date shall become a part of a faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure.*

- (3) When probationary tenure-track faculty receive their annual review, the tenure initiating unit chair shall inform them of their right to review their primary personnel file maintained by their tenure initiating unit and to place in that file a response to any evaluation, comment or other material contained in the file (see rule 3335-3-35 of the Administrative Code).*
- (4) The fourth year review of probationary tenure-track faculty shall follow the same process as the review for tenure and promotion at the tenure initiating unit and college levels with two exceptions: Solicitation of external letters of evaluation may or may not be required by the tenure initiating unit and review by the college promotion and tenure committee shall be optional in all cases where both the tenure initiating unit and the dean approve the renewal of the appointment. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the dean of the college. Before reaching a negative decision or a decision contrary to the tenure initiating unit's recommendation, the dean must consult with the college promotion and tenure committee.*

*(B) Exclusion of time from probationary periods.*

- (1) An untenured regular tenure-track faculty member may exclude time from the probationary period in increments of one year to reflect the caregiving responsibilities associated with the birth of a child or adoption of a child under age six. Requests to exclude time from the probationary period for this reason must be made within the year following the birth or adoption and prior*

*to the beginning of the year in which the mandatory review for tenure must occur. The maximum amount of time that can be excluded from the probationary period for the birth of a child or adoption of a child under age six is one year. Requests to exclude time from the probationary period made under the terms of this paragraph must be submitted to the chair of the tenure initiating unit for forwarding to the dean and to the office of academic affairs. Such requests will be approved unless they are prohibited by paragraphs (D)(3) or (D)(4) of this rule.*

- (2) A probationary tenure-track faculty member may apply to exclude time from the probationary period in increments of one year because of personal illness, care of a seriously ill or injured person, an unpaid leave of absence, or factors beyond the faculty member's control that hinder the performance of the usual range of duties associated with being a successful university faculty member, i.e., teaching, scholarship, or service. Requests to exclude time from the probationary period made under the terms of this paragraph must be submitted to the chair of the tenure initiating unit. Requests shall be reviewed by the tenure initiating unit promotion and tenure committee which shall advise the tenure initiating unit chair regarding their appropriateness. Such requests require approval by the tenure initiating unit chair, dean, and executive vice president and provost. A request to exclude time from the probationary period for any of these reasons must be made prior to the beginning of the year in which the mandatory review for tenure must occur. The extent to which the event leading to the request was beyond the faculty member's control, the extent to which it interfered with the faculty member's ability to be productive, and the faculty member's accomplishments up to the time of the request will be considered in the review of the request.*
- (3) A request to exclude time from the probationary period for any reason will not be granted after a nonrenewal notice has been issued nor will previously approved requests to exclude time from the probationary period in any way limit the university's right not to renew a probationary appointment.*
- (4) The maximum amount of time that can be excluded from the probationary period for any reason or combination of reasons is one year for an instructor, two years for assistant professor (including time spent as an instructor) and one year for an associate professor except in extraordinary circumstances. Exceptions require the approval of the tenure initiating unit chair, dean, and executive vice president and provost.*
- (5) Tenure-track faculty members will be reviewed annually during their probationary periods regardless of whether time is excluded from that period for any of the above reasons unless their absence from campus during an excluded period makes conduct of such a review impractical.*
- (6) For purposes of performance reviews of probationary faculty, the length of the probationary period is the actual number of years of employment at this university less any years of service excluded from the probationary period under the terms of this rule. Expectations for productivity during the probationary period cannot be increased as a consequence of exclusions of*

*time granted under the terms of this rule.*

### **Procedures: Probationary tenure track faculty**

All nontenured faculty members are reviewed annually by the Department's Promotion and Tenure Committee and by the Department Chair for renewal or non-renewal of contract. Each nontenured faculty member is evaluated each year on a combination of criteria, which include his or her:

1. development of a sustained program of research and professional development, as attested to by solicitation and obtaining research support from funding agencies, publications in reviewed journals, participation in societal meetings, and the establishment of a national scientific reputation;
2. effectiveness as a teacher in formal undergraduate and graduate courses, as judged by student evaluation of teaching forms, peer review accomplished by classroom visitations by department faculty members, and any other relevant materials (see the detailed explanation in the section "Evaluation of teaching" below);
3. instruction and guidance of graduate students;
4. effective service in committee assignments at the Department, College, and University level; and
5. service to professional societies, granting agencies, editorial and publishing organizations, and other relevant service organizations.

Prior to the annual review, the members of the Promotion and Tenure Committee will have access to a complete file for each candidate. Each file will include the P&T dossier, a current CV, a Faculty Activity Report detailing professional activities completed during the preceding year, reprints of published papers, evidence of teaching ability, and such other documents that are deemed relevant by the faculty member or the Department Chair. The department is committed to not renewing a probationary appointment following any annual review in which it is apparent that the candidate's likelihood of meeting expectations for promotion and tenure is poor. The fourth year review procedure (see below) must be followed for any nonrenewal of a probationary appointment.

Each faculty member will be evaluated on his or her individual merits, with discussion by the reviewers prior to voting. Except for the fourth- and sixth-year reviews, voting may proceed either by secret written ballot or voice vote as established by mutual agreement of members of the Promotion and Tenure Committee. As described below, the vote during fourth- and sixth-year reviews must be by secret written ballot. The Committee's vote and recommendation along with a written summary of the principal strengths and weaknesses of the candidate's performance will be conveyed by the chair of the Committee in a single letter to the Department Chair. The Department Chair will then forward to the candidate his/her own recommendations and those of the Promotion and Tenure Committee and an indication as to whether the faculty member will be reappointed for an additional year in an additional formal review letter. The Department Chair is required by Faculty Rule 3335-3-35 (C)(3) to inform the faculty members in

their annual review letter of their right to review their personnel file. The annual review letters become part of the faculty member's permanent promotion and tenure file. If the Department Chair recommends reappointment of a non-tenured faculty member, that decision is final. The Dean of the College will be provided with a written assessment of the faculty member's performance and professional development. If the Department Chair recommends against renewal of the appointment of a non-tenured faculty member, that recommendation must result from fourth year review procedures and the dossier is forwarded to the College for review and decision by the Dean.

In any annual review, the Department Chair will reach a recommendation or decision different from that of the Promotion and Tenure Committee only in unusual circumstances, and in this case will meet with the Committee to explain the reasons for his/her recommendation or decision.

Each non-tenured faculty member must meet with the Chair within one month following the annual review to discuss the specific information detailed in the review letters. Following that meeting, the faculty member may prepare a response to the annual review letter which will also be placed into his/her permanent file.

*Fourth year reviews:* The fourth year review will be more extensive than those of the first three years and also requires a college level review. The review procedure is similar to that used during the review for promotion to associate professor with tenure (*i.e.* the sixth-year review) except that letters from external evaluators are not required. The candidate will prepare a fourth year review dossier using the same format and content as that used for six-year promotion and tenure reviews. Outside review letters, while not required, may be solicited and included in fourth year reviews if either the candidate or the Promotion and Tenure Committee believe that obtaining letters is essential for a complete and fair review.

The candidate will be evaluated on his or her individual merits, with discussion prior to voting. Voting will be by secret ballot. Two thirds of the votes by members of the Promotion and Tenure Committee must be positive in order for a recommendation to be considered positive. The outcome of the Committee's vote, a summary of the principal strengths and weaknesses of the candidate's performance, and a recommendation for the candidate will be conveyed in a single letter from the chair of the Promotion and Tenure Committee to the Department Chair. The Committee's letter will be added to the candidate's Dossier. The Department Chair undertakes a separate assessment and prepares a separate recommendation in a letter that is placed in the Dossier. Once prepared, the candidate is notified of the availability of the letters and is given ten days to prepare written comments. The Dossier will be transmitted to the Dean of the College of Biological Sciences, along with all of the supporting materials from the candidate's file for review by the College Promotion and Tenure Committee. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the Dean of the College. Favorable review in the fourth year does not imply that the candidate will be recommended for promotion and/or tenure in his/her sixth year of service.

### **Procedures: Tenured faculty**

All tenured faculty, regardless of rank, are reviewed annually using the same criteria as outlined above. The Promotion and Tenure Committee as defined above will evaluate

each associate professor. Prior to the meeting of the Committee at which the performance of the associate professors will be examined, the members of the Committee will have access to a current CV, a Faculty Activity Report detailing professional activities completed during the preceding year, reprints of recently published papers, evidence of teaching ability and any other documents deemed appropriate by the faculty member of the Department Chair. In the case of all reviews of faculty, the candidate will have an opportunity to comment in writing to the evaluation, and this letter will be placed in the candidate's permanent file.

### **Procedures: Associate Professors**

Each associate professor will be evaluated on his or her individual merits, with discussion by the Promotion and Tenure Committee prior to voting, which must be by written ballot. The evaluation of each associate professor with the Committee's vote and a summary of the principal strengths and weaknesses of the candidate's performance will be conveyed in a single letter to the Department Chair. The Department Chair then will forward his/her own recommendations and those of the Promotion and Tenure Committee to the associate professor in an additional formal review letter. The annual review letters and any written responses by the candidate become part of the faculty member's permanent promotion and tenure file.

### **Procedures: Professors**

Evaluation of the full professors of the department is the responsibility of the Department Chair. After reviewing the documentation submitted by each full professor, the Chair will provide each full professor with a letter discussing the individual's professional activities and accomplishment over the past year. This annual letter may also contain recommendations relative to areas of performance that need improvement. The faculty member must have an opportunity to comment on the review, and the written comments will be placed in the faculty member's permanent file.

### **Procedures: Auxiliary Faculty**

All auxiliary faculty will be evaluated by the Promotion and Tenure Committee each Spring Quarter to determine if their contributions to the Department merit reappointment. The criteria used for evaluation are similar to those used for the appointment of regular salaried faculty in the department including evidence of a sustained program of research and other relevant professional activity.

### **Procedures: Courtesy appointments for regular faculty**

As with regular faculty, the Department Chair will also review non-salaried faculty annually with input from the Promotion and Tenure Committee. As part of that review process, non-salaried faculty will provide to the Chair a written summary of activities in the past year, especially as they pertain to the courtesy appointment. As with regular faculty, the Chair will provide each non-salaried faculty member with a letter discussing the individual's activities and contributions over the past year and a summary of the review. The criteria used for evaluation are similar to those used for the appointment of regular salaried faculty in the department including evidence of a sustained program of research and other relevant professional activity.

## **Procedures: Research track faculty appointments**

As with regular faculty, the Department Chair will also review research track faculty annually with input from the Promotion and Tenure Committee. As part of that review process, research track faculty will provide the Chair with a written summary of research activities during the current year of appointment including research activities, publications, presentations, external funding, and grant applications pending. This information must be provided at least six weeks before the end of the current term to provide sufficient time for evaluation for reappointment. The criteria used for evaluation include research performance and productivity, external funding, and participation in scholarly activities that are consistent with regular tenure track faculty. The continuation of the research track faculty appointment for another one-year term including access to laboratory research space and other department resources will depend on a positive review by the Promotion and Tenure Committee and the Department Chair. One month before the end of their current term, the Chair will provide each research track faculty member with a letter summarizing the substance of the review and the recommendation that was made for reappointment.

Reappointments of research faculty are also subject to the availability of funding for salary and research. This funding may be provided either by the sponsoring faculty member or external grants awarded to the research faculty member. Departmental funds will generally not be available. Should either source of funding lapse, in most cases the appointment as a research faculty member will end. In exceptional cases, the Department may choose to assist in providing all or a portion of the salary and research support for research faculty for a short transitional period of up to 9 months while the research faculty member works to obtain extramural funding. Such support is not guaranteed, however, and is subject to availability of funds and approval by the chair and the faculty of the department.

Research track faculty may be considered for promotion in rank. The appropriateness and timing of such considerations should be established in consultation between the research track faculty member and the Department Chair and Promotion and Tenure Committee. The procedures used for evaluation will be similar to those for tenure-track faculty including the solicitation of letters of evaluation from 6-10 external scholars knowledgeable of the candidate's research area. Mandatory 4<sup>th</sup>- and 6<sup>th</sup>-year reviews are not applicable to Research Assistant Professors. The dossier will be evaluated by the Department's Promotion and Tenure Committee as well as the Department Chair. Voting procedures are as described for tenure-track faculty. Promotions are subject to approval by the Dean of the College.

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

### **Criteria**

Effectiveness in teaching will be judged by the willingness of the individual to assume teaching responsibilities and the quality of instruction, as judged by student evaluation of teaching forms, written comments of students and faculty who have observed classroom teaching, the development of teaching aids, and any other pertinent materials. Course

revisions and preparation of new courses are considered as important measures of effective teaching. The quality of the training of graduate students and postdoctoral fellows is also an important component of teaching effectiveness.

Research accomplishments will be determined by the quality and productivity of the faculty member's research program, publications, external grant support, invitations to present seminars and symposia at national and international meetings and at other universities and research institutes, and related activities such as service on panels or editorial boards.

The extent and importance of service activities in the Department, College, University, community, and professional organizations will be evaluated.

### **Procedures and Documentation**

Each year an annual report of professional activity will be solicited from each faculty member of the department. The Chair of the Department will evaluate and prepare a written summary for each faculty member that reflects his/her effectiveness and productivity in research, teaching, and service. The amount of merit raise for each individual will be determined by his/her effectiveness in research, teaching, and service during the previous year with consideration of the past several years' performance, and the appropriateness of the salary level to the individual's overall record, as judged by the Department Chair, in consultation with the Dean of the College. Each faculty member can request a meeting with the Chair to discuss the annual evaluation and salary adjustment.

In addition to the annual faculty activity report, faculty members are required to submit copies of student and peer evaluations of teaching, curriculum and/or course materials that reflect course development or revision accomplished during that year, and reprints of papers published or accepted for publication, information about grant proposals submitted, description of research in progress, letters of recommendation, awards, honors, and any similar materials which the faculty member feels may assist the Chair in appreciating his/her contributions during the previous year.

### **EVALUATION OF TEACHING**

Effective teaching is an essential responsibility of all faculty members in the department. The quality of teaching is an explicit factor in the evaluation of faculty performance for merit salary increases and for promotion and tenure reviews.

Performance in effective teaching will consider each of the following factors:

1. command of subject matter including incorporation of new knowledge
2. ability to organize and present class material with clarity and enthusiasm
3. development of new courses
4. creativity in methods of presentation and student motivation

5. contributions to curriculum development
6. advising undergraduate and graduate students

Each faculty member must describe his/her contribution to teaching in the annual report which should include the number and identity of courses and sections taught, the number of students enrolled, and their plans to enhance any of the courses in the next academic year.

Any recognition or awards for distinguished teaching should be described.

#### A. Student evaluations.

Student evaluation of faculty instruction is required for every formal classroom course. Every student in every classroom course must be provided an opportunity to complete a confidential evaluation of the instructor and of the course using standard University student evaluation of instruction (SEI) forms. Other custom SEI forms may be substituted as long as they are approved by the College and are used by all faculty members in the Department. The administration of the evaluation must not be under the control of the faculty member being evaluated. A copy of the results of the evaluation will be included with the annual Faculty Activity Report. The approved student evaluation of instruction forms described above can be supplemented by any additional modes of evaluation desired by individual instructors either for personal use or use in evaluations. Also, letters from present and former students can be submitted to supplement the teaching evaluation. However, these supplemental modes and letters cannot substitute for approved confidential student evaluations as described above.

#### B. Faculty evaluations.

Peer evaluation of teaching is required each year for all untenured faculty members. Each untenured faculty member has two senior faculty members who serve as mentors and it is their responsibility to carry out peer evaluation by attending at least two lectures and by reviewing the course syllabus, lecture materials, problem sets, and examinations given in each course taught by the junior faculty member.

Associate professors are also subject to peer review of teaching. The Department Chair will assign at least two faculty members to perform peer evaluation of teaching of associate professors, which should be accomplished at least every two years. The evaluations must include attendance by the peer evaluators of at least one regularly scheduled lecture period. At least one current (two years or less) peer review of teaching report must be on file for an associate professor that will be considered for promotion. The Department Chair will determine if it will be necessary to conduct additional evaluations at the time that consideration for promotion is initiated, *i.e.* at the annual review preceding the initiation of the promotion review process.

In each case, the designated peer evaluator(s) will submit to the Department Chair a signed report of his/her evaluation, which will be placed in the faculty member's permanent file. Evaluations made by other faculty members who have worked with the faculty member in teaching may also be submitted to the Chair.

The following information will be included in the evaluation report:

- Name of instructor
- Name and number of course being evaluated
- Academic quarter and date of evaluation
- Name of evaluator
- Number of lectures/lab sessions attended by the evaluator.

The following topics should be addressed in the report:

Subject matter, organization, clarity, and pace of presentation; mechanics of presentation (voice, volume, speed, mannerisms); use of teaching aids (projectors, blackboard, etc); student interactions (questions/answers); syllabus, handouts, and examinations (if available); suggestions for improvements.

Performance in instruction also includes academic advising, mentoring and directing undergraduate and graduate students in their independent studies and/or thesis research, and in counseling of undergraduate and graduate students in career development and personal matters. Documentation of contributions in these areas should also be provided in annual reports and during review of all candidates for promotion and for tenure.

Faculty members may also present documentation of outreach service activities that include planned education activities by departmental faculty that are directed primarily toward students or users outside the campus classroom. These activities may include individuals, other than professional peers, who are not enrolled in courses for academic credit, students enrolled in area elementary, middle, and high schools, and/or other outreach educational programs.

## **PROMOTION & TENURE AND PROMOTION REVIEWS**

### **Criteria: Promotion to rank of associate professor with tenure**

*According to Faculty Rule 3335-6-02 (C):*

*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.*

*Furthermore, according to Faculty Rule 3335-6-02 (B):*

*Tenure will not be awarded below the rank of associate professor.*

Specific criteria include:

1. development of a sustained program of research and professional development, as attested to by solicitation and obtaining research support from funding agencies, publications in internationally recognized peer-reviewed journals, participation in societal meetings, and the establishment of a national scientific reputation as documented in part by at least five letters from distinguished persons in the candidate's field who are in a position to critically evaluate the candidate's scholarly work and to comment on its significance in the discipline;
2. effectiveness as a teacher in formal undergraduate and graduate courses, as judged by student evaluation of teaching forms, peer review accomplished by classroom visitations by department faculty members, and any other relevant materials;
3. effective instruction and guidance of graduate students;
4. significant and effective service in committee assignments at the Department, College, and University levels; and
5. effective service to professional societies, granting agencies, editorial and publishing organizations, community outreach, and other relevant service organizations and activities.

**Criteria: Promotion to rank of professor**

*According to Faculty Rule 3335-6-02 (C):*

*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.*

Consideration for the initiation for review for promotion of an associate professor to professor will occur at the time of annual review of faculty by the Promotion and Tenure Committee. The criteria for promotion to professor include excellence in teaching and outstanding scholarship, evidence of a sustained effort in maintaining an imaginative, established, and productive research program with continuous external grant support, the development and maintenance of an international scientific reputation, and significant professional and community service.

All promotions and/or tenure decisions are subject to the approval of the Dean, Provost, President, and Board of Trustees.

**Criteria: Promotion to rank of research associate professor**

For promotion to the rank of Research Associate Professor, a faculty member must have a substantial record of high quality focused research consistent with an appointment devoted almost 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 funding is required along with evidence of a growing national reputation.

## **Criteria: Promotion to rank of research professor**

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

## **Procedures**

*The faculty rule relevant to this section is 3335-6-04 Promotion and tenure review procedures.*

### *(A) General considerations.*

- (1) In consultation with the rules committee or its designee, the office of academic affairs shall develop and promulgate procedural guidelines for promotion and tenure reviews to supplement Chapter 3335-6 of the Administrative Code. These guidelines shall include a dossier outline to be used for the documentation of accomplishments by all candidates to be reviewed for promotion and tenure and by all probationary tenure-track faculty for annual reviews. The guidelines shall also include general information about the review process at the college and university level, information about any legal considerations affecting promotion and tenure evaluations, examples of criteria by which candidates for promotion and tenure are evaluated, and other information intended to assist academic units in carrying out reviews.*
- (2) All candidates for promotion and tenure are reviewed by the eligible faculty and by the chair of their tenure initiating unit. Candidates will also be reviewed at the college and university levels. The tenure initiating unit chair is responsible for informing the candidate in writing of the provost's final decision (if negative) or recommendation to the board of trustees (if positive).*
- (3) The review for tenure during the final year of a probationary period is mandatory and must take place.*

*A faculty member may ask to be considered for nonmandatory promotion and tenure review or for promotion review at any time; however, the tenure initiating unit promotion and tenure committee may decline to put forth a faculty member for formal nonmandatory promotion and tenure review or promotion review if the candidate's accomplishments are judged not to warrant such review. The promotion and tenure committee may not deny a tenured faculty member a formal review for promotion more than three consecutive years.*

- (4) Only the candidate may stop any review for promotion and tenure once*

*external letters of evaluation have been sought. The candidate may withdraw from review at any stage of the process by so informing the tenure initiating unit chair in writing. If the review process has moved beyond the tenure initiating unit, the tenure initiating unit chair shall inform the dean or the executive vice president and provost, as relevant, of the candidate's withdrawal. Withdrawal from the mandatory tenure review during the final probationary year means that tenure will not be granted.*

*(B) Review procedures at the tenure initiating unit level.*

- (1) Each tenure initiating unit shall establish a mechanism such as a promotion and tenure committee, for presenting the case of a candidate for promotion and tenure to the eligible faculty for consideration and for preparing a report for the tenure initiating unit chair providing the eligible faculty's assessment of quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service. With the exception noted below, 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. For tenure reviews of probationary professors, eligible faculty are tenured professors 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) The candidate shall have primary responsibility for preparing, according to office of academic affairs guidelines, a dossier documenting his or her accomplishments.*
- (3) The tenure initiating unit chair or chair of the promotion and tenure committee shall be responsible for gathering internal evidence of the quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service from students and peers, as appropriate, within the tenure initiating unit. The tenure initiating unit chair or chair of the promotion and tenure committee shall also be responsible for obtaining letters from external evaluators and from other units at this university in which the candidate has appointment or substantial professional involvement, whether compensated or not. Some of the external evaluators should be suggested by the candidate and some by the department chair or promotion and tenure committee; no more than one-half of the letters contained in the final dossier should be from persons suggested by the candidate. All solicited letters that are received must be included in the dossier. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the above authorized persons may not be included in the dossier.*
- (4) The eligible faculty shall review the candidate's dossier describing accomplishments in teaching, scholarship, and service and shall vote on the candidate. A report of the faculty assessment, including both strengths and weaknesses, and the numerical vote of the faculty shall be forwarded to the tenure initiating unit chair for inclusion in the dossier.*

- (5) *The chair shall prepare a separate written assessment of the case and recommendation for the dean for inclusion in the dossier. As soon as the faculty report and chair's letter have been completed, the candidate should be notified in writing of the completion of the tenure initiating unit review and of the availability of these reports. The candidate may request a copy of these reports. The candidate may provide the tenure initiating unit chair with written comments on the tenure initiating unit review for inclusion in the dossier within ten calendar days of notification of the completion of the review. The promotion and tenure committee and/or chair may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the departmental level review is permitted.*
- (6) *The tenure initiating unit chair shall forward the dossier with all internal and external evaluations, candidate comments on the tenure initiating unit review and promotion and tenure committee and/or chair responses to those comments, if any, to the dean of the college..*

The process of review for promotion or for promotion and tenure begins with a meeting between the candidate and Department Chair during the Spring Quarter preceding the academic year in which the review is to occur. At that meeting, the procedures and timetable for the review are discussed. During the summer preceding the review, the Chair solicits from the candidate two lists of outside scholars: (1) a list of scholars (not to exceed five) the candidate feels would be capable of and willing to supply an objective, unbiased review of the candidate's performance, and (2) a list of outside scholars with whom the candidate has a conflict of interest or other professional relationship which might preclude objectivity. The Department Chair will also solicit a list of outside scholars from members of the Promotion and Tenure Committee. In consultation with the incoming chair of the Promotion and Tenure Committee, the Department Chair will select 10-12 outside scholars from the two recommended lists, consistent with the following two criteria:

- (1) A plurality of the selected scholars will be persons recommended by the committee.
- (2) Outside reviewers should hold, at the minimum, rank equivalent to that for which the candidate is being reviewed.

Each outside scholar being asked to evaluate the candidate will be provided with a current CV, 3-5 recent reprints, and a narrative provided by the candidate which describes past research accomplishments and current research progress and goals.

At the beginning of the Autumn Quarter of the academic year of the sixth year review for the granting of tenure and for promotions, the members of the Promotion and Tenure Committee will have access to a current and complete dossier for each candidate for their review and evaluation. Each dossier will include those materials that the candidate is required to submit according to Office of Academic Affairs guidelines, the letters from outside reviewers, and any other documents that are appropriate. In addition, during the period for the sixth year reviews, candidates to be evaluated will be given the opportunity to meet with the Promotion and Tenure Committee to present any additional relevant materials and information and/or to

answer queries from the Committee. Also, early in this Autumn Quarter and before the actual review and recommendations made by the Promotion and Tenure Committee, each candidate for tenure will present a research seminar to the Department.

Each candidate being considered for promotion or for promotion and tenure will be evaluated on his or her individual merits, with discussion prior to voting. Voting will be by secret ballot. Two thirds of the votes by members of the Promotion and Tenure Committee must be positive in order for a recommendation to be considered positive. The recommendation for each candidate with the Committee's vote and a summary of the principal strengths and weaknesses of the candidate's performance will be conveyed in a single letter to the Department Chair. The Committee's letter will be placed in the candidate's Dossier.

The Department Chair will undertake a separate assessment of the candidate and prepare a letter detailing the evaluation with his/her recommendation, which will be added to the Dossier. As soon as the letters from the Promotion and Tenure Committee and the Department Chair have been completed, the candidate will be notified in writing of the completion of the department review and the availability of these letters. The candidate may request a copy of these letters. The candidate may provide the Department Chair with written comments on the department review for inclusion in the dossier within ten calendar days of notification of the review. The Promotion and Tenure Committee and/or Department Chair may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the departmental level review is permitted.

The Department Chair shall forward the dossier with all internal and external evaluations, candidate comments on the departmental review and Promotion and Tenure Committee and/or Chair responses to those comments, if any, to the Dean of the College.

Each departmental recommendation for promotion and tenure must be approved by the Dean of the College and by the Provost. If a positive departmental decision is confirmed by the Dean, the Provost, and the Board of Trustees, tenure takes effect no later than the beginning of the seventh year.

Each candidate for tenure will be notified in writing with prior approval of the Dean and Provost of the final recommendation in his/her case. The Department Chair will arrange a personal interview with each candidate to discuss the decision on renewal or non-renewal, granting or not granting of tenure or promotion. If the decision is to not reappoint or to not grant tenure, a notice of non-reappointment will be given in writing with prior approval by the Dean in accordance with the following standards: (1) not later than March 1 of the first academic year of service, if the appointment is to be terminated at the end of that year; or, if a one-year appointment terminates during an academic year, at least 3 months in advance of its termination; (2) not later than December 15 of the second year of academic service, if the appointment is to be terminated at the end of that year, or (3) at least 12 months before the termination of an appointment after two years of service in the institution.

## Documentation

In preparation for review for promotion and tenure or for promotion, the faculty member shall develop a dossier consistent with the guidelines issued that year by the Office of Academic Affairs. The Department Chair shall ensure that all faculty eligible for review receive these materials. The dossier materials submitted by the faculty member shall include all narrative and description sections required in the guidelines, copies of letters from directors or chairs of other units or interdepartmental graduate programs in which the candidate has a salaried or courtesy appointment, copies of student and peer evaluations of teaching, curriculum and/or course materials that reflect course development or revision accomplished, a narrative discussing research in progress, and copies of letters of commendation, awards, or honors. In addition, one complete set of reprints of the faculty member's publications should be submitted. For non-tenured faculty being considered for promotion and tenure, materials covering the entire probationary period should be included. For associate professors being considered for promotion to professor, the dossier should focus upon accomplishments since the date of last promotion. The responsibility of establishing a fully documented record of achievement rests with the faculty member.

The Department Chair shall supplement the dossier materials submitted by the faculty member with such additional materials that are deemed appropriate in the Office of Academic Affairs guidelines for that year. Such materials may include but are not limited to (1) copies of the departmental policies on promotion and tenure, annual reviews, and workload, (2) a roster of the Promotion and Tenure Committee, (3) copies of the faculty member's annual review letters from the Department Chair and from the Promotion and Tenure Committee, (4) letters of evaluation from the appropriate persons/committees in departments and/or programs in which the faculty member holds courtesy appointments, (5) letters from outside evaluators, (6) interpretive narratives which place the faculty member's accomplishments into the context of comparable faculty in the department or profession.

## Split Appointments

The review process for faculty having split or partial salaried appointments in the Department will be essentially the same as described above for regular appointments.

The specific criteria applied in the review are the same as those for regular appointments in the units involved. The chair of the Promotion and Tenure Committee of the Department will serve as the oversight designee for those faculty holding split appointments with tenure residing in this department (*i.e.* the tenure initiating unit [TIU]). Modifications are as follows.

1. At the time the TIU is compiling the list of external evaluators, suggestions will be sought from the other unit(s) in which the candidate holds appointments.
2. The promotion and tenure committee of each of the other unit(s) in which the candidate holds an appointment will be provided with the complete dossier and supporting materials for review at the same time that it is made available to the Promotion and Tenure Committee of the Department

3. The promotion and tenure committee of the other unit(s) in which the candidate holds an appointment shall meet to discuss the candidate's promotion. While the vote is technically non-binding, each promotion and tenure committee may formally vote on the candidate's promotion (according to its voting rules) and provide this information to the Department. The chair of the promotion and tenure committee of the other unit(s) in which the candidate holds an appointment will summarize the outcome of the review and its recommendation in the form of a letter to the Chair of the Department.
4. The head of each of the other unit(s) in which the candidate holds an appointment shall conduct a separate evaluation of the candidate and submit this assessment and a recommendation in the form of a letter to the Chair of the Department.
5. The Chair of the Department will consider the letters from the chair of the promotion and tenure committee and the head of each of the other unit(s) in which the candidate holds an appointment in his/her assessment of the candidate and his/her recommendation to the Dean of the College. These letters will also be included in the candidate's dossier.

## **APPEALS**

The faculty rule relevant to this section is 3335-6-05.

- (A) *Appeals. It is the policy of the Ohio state university to make decisions regarding the renewal of probationary appointments and promotion and tenure in accordance with the standards, criteria, policies, and procedures stated in these rules, supplemented by additional written standards, criteria, policies, and procedures established by tenure initiating units and colleges. If a candidate believes that a nonrenewal decision or negative promotion and tenure decision has been made in violation of this policy and therefore alleges that it was made improperly, the candidate may appeal that decision. Procedures for appealing a decision based on an allegation of improper evaluation are described in rule 3335-5-05 of the Administrative Code.*

## **SEVENTH YEAR REVIEWS**

The faculty rule relevant to this section is 3335-6-05. Criteria and procedures for appeals of negative promotion and tenure decisions and appointment nonrenewals and for seventh year reviews.

Faculty Rule 3335-6-05 (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.

- (B) *Seventh year reviews. Every effort should be made to consider new information about a candidate's performance before a final decision is made if the new information becomes available before a decision is rendered. In rare instances, a tenure initiating unit may petition the dean to conduct a seventh year review for an assistant professor who has been denied promotion and tenure. Both the eligible faculty of the unit and the chair must approve proceeding with a petition for a seventh year review. The petition must provide documentation of*

*substantial new information regarding the candidate's performance that is germane to the reasons for the original negative decision. Petitions for seventh year reviews must be initiated before the beginning of the last year of employment because the seventh year review, if approved, would take place during the regular university review cycle of the assistant professor's seventh and last year of employment.*

*If the dean concurs with the tenure initiating unit's petition, the dean shall in turn petition the provost for permission to conduct a seventh year review. If the provost approves the request, a new review will be conducted equivalent to the one that resulted in the nonrenewal of the appointment. The conduct of a seventh year review does not presume a positive outcome. In addition, should the new review result in a negative decision, the faculty member's last day of employment is that stated in the letter of nonrenewal issued following the original negative decision.*

*A tenure-track faculty member may not request a seventh year review, appeal the denial of a seventh year review petition initiated by his or her tenure initiating unit, or appeal a negative decision following a seventh year review, since the faculty member has already been notified that tenure has been denied at the conclusion of the sixth year review. (B/T 10/5/84, B/T 11/2/90, B/T 5/3/96, B/T 7/9/2004, B/T 6/7/2005)*

**Approval and review of this document:**

This document was unanimously approved by vote of faculty of the Department on August 13, 2008.

This document must be reviewed and either reaffirmed or revised within the first year of appointment or reappointment of the Department Chair. If the document is simply reaffirmed, the College office and Office of Academic affairs should be notified. If the department revises the document, a College office and OAA review is required. The document may be revised at any time by the department, subject to College and OAA review and approval of the revisions.