

AUSTIN E. KNOWLTON SCHOOL OF ARCHITECTURE
CRITERIA AND PROCEDURES FOR
APPOINTMENTS, PROMOTION, AND TENURE

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I. Preamble

This document is a supplement to Chapters 6 and 7 of the Rules of the University Faculty (<http://trustees.osu.edu/rules/university-rules>); the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the Office of Academic Affairs Policy and Procedures Handbook (<http://oaa.osu.edu/policiesprocedureshandbook.html>); and other policies and procedures of the College and University to which the School and its faculty are subject.

If those rules and policies change, the School will follow the new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on the appointment or reappointment of the School Director.

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

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-01.html>) 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 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-02.html>) and other standards specific to this School and College; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the University's policy on equal opportunity (<http://hr.osu.edu/policy/policy110.pdf>).

II. School Mission

The mission of the Austin E. Knowlton School of Architecture is to achieve and maintain internationally recognized excellence in education, scholarship and creative activity; shape and serve the professions of architecture, landscape architecture, and city and regional planning; contribute to the intellectual and creative purposes of the College and University; and promote and impact the quality of design and planning locally and globally.

The School balances its educational and professional mandate by deploying design and planning as modes of intellectual inquiry and responsible action. At the undergraduate level, design and planning shift a liberal arts education from one of passive reception to active engagement. At the graduate level, design and planning are the critical interface between theory and technique whereby students develop the conceptual breadth and technical expertise to shape a profession's agenda and evolution. In the scholarship of its faculty, as well, design and planning help build a knowledge base and project potential futures. The School's faculty, students, and alumni are a force for the expansion of knowledge and innovative practice.

In its mission, the Knowlton School aligns with the University's legacy of contributing to knowledge and addressing society's needs. The School's design and planning discourse advances solutions to issues facing contemporary society. It incorporates the arts, humanities, and sciences in its curricula, while providing design and planning courses to students in other majors. These offerings are supplemented by public lectures, exhibitions and symposia, publications, and distinguished visiting practitioners and scholars. All of these activities contribute to knowledge, the critique and evolution of contemporary culture, its institutions, and the quality of the human environment.

School faculty, working with other academic and administrative offices of the University and others, provide expertise to foster design and planning excellence on the campus and the world. Faculty and student creative work propose solutions to design and planning problems, and faculty scholarship offers alternative knowledge bases for design and planning decisions. Frequently, these activities take place in partnership with the potential users, and they typically link local and global concerns. The School's publications and electronic communications disseminate all these efforts to a broader audience.

III. Definitions

The Knowlton School includes the Sections of Architecture, Landscape Architecture, and City and Regional Planning. The Director in concert with Section Heads leads the School.

A. Committee of the Eligible Faculty

1. Tenure-track Faculty

The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure and promotion reviews of tenure-track faculty consist of all tenured faculty of higher rank than the candidate whose tenure resides in the School (excluding the School Director, 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 of rank higher than the candidate's rank whose tenure resides in the School (excluding the School Director, the Dean and Assistant and Associate Deans of the College, the Executive Vice President and Provost, and the President).

2. Clinical Faculty

The eligible faculty for the senior rank of new appointments, reappointment, contract renewal, and review of promotion of clinical faculty consist of all tenured faculty whose tenure resides in the School of higher rank than the candidate and all non-probationary clinical faculty whose primary appointment is in the School of higher rank than the candidate (excluding the School Director, the Dean and Assistant and Associate Deans of the College, the Executive Vice President and Provost, and the President).

3. Research Faculty

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion reviews of research faculty consist of all tenured faculty whose tenure resides in the School of higher rank than the candidate, all nonprobationary clinical faculty of higher rank than the candidate, and all non- probationary research faculty whose primary appointment is in the School of higher rank than the candidate (excluding the School Director, the Dean and Assistant and Associate Deans of the College, the Executive Vice President and Provost, and the President).

4. Conflict of Interest

A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close personal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services or vice versa, has a close professional relationship with the candidate (e.g. dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible.

5. Minimum Composition

If the School does not have at least three eligible faculty members who can undertake a review, the School Director, after consulting with the Section Heads and the Dean will appoint a faculty member from another department within the College.

B. Promotion and Tenure Committee

The School has a Promotion and Tenure Committee that assists the eligible faculty in managing promotion and tenure issues. The promotion and tenure committee has five to six tenured professors, including at least two full professors, with no more than two professors coming from the same Section. The School Director in consultation with the Section Heads appoints all members of the Promotion and Tenure Committee annually, assigns the roles of Chair and Procedures Oversight Designee, and may add more committee members to cover the School's diverse scholarship. The Chair of the Promotion and Tenure Committee shall serve as Chair for no more than three consecutive years.

C. Quorum

A quorum of the eligible faculty is required for:

- promotion and tenure reviews of tenure-track faculty,
- promotion reviews of tenure-track, clinical, and research faculty,
- tenure reviews of probationary faculty of senior rank,
- fourth year reappointment reviews of probationary tenure-track faculty,
- reappointment reviews in the penultimate contract year for probationary clinical faculty, and
- consideration of the appropriateness of appointments at senior rank for tenure-track, clinical, and research faculty.

The minimum number of faculty required to achieve a quorum necessary for a meeting is 60% of the applicable eligible faculty (including those participating by teleconference but excluding those with a conflict of interest). Faculty on leave of absence, on faculty professional leave, or on approved special assignment to an off-campus location may participate but are not required to do so (and are excluded from the count of applicable eligible faculty if they do not participate.)

The School strongly encourages informed participation of all eligible faculty at P&T Committee meetings and arranges these to accommodate faculty schedules to the greatest extent possible.

D. Recommendation from the Committee of the Eligible Faculty

Eligible faculty will review the candidate's dossier and vote, by secret ballot, on the candidate. In all cases, a positive recommendation from the eligible faculty is secured when 60% of the votes cast are positive.

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.

Absentee ballots and proxy votes are not permitted. Only eligible faculty members present at the meeting or participating in it by teleconference may vote (OAA 3.6.4).

IV. Appointments

A. Criteria

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

1. Tenure-track Faculty

Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The terminal degree is a Masters in the Sections of Architecture and Landscape Architecture, while the terminal degree is a PhD in City and Regional Planning. The School will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the end of the third year of appointment, the third year is a 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 School's eligible faculty, the School Director, the Dean, and the Office of Academic Affairs. Faculty members will carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. A terminal degree is typically the minimum requirement for appointment at the rank of Assistant Professor. There must be evidence of potential for high-quality scholarship, high-quality teaching, and high-quality service to the School. Appointment at the rank of Assistant Professor is always probationary, with mandatory tenure review in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate (see Section VII.B.2).

Associate Professor and Professor. Appointment at senior rank requires that the individual, at a minimum, meet the School's criteria in teaching, scholarship, and service for promotion to these ranks (Section VII). In cases where the candidate does not have prior experience teaching or advising graduate students, teaching ability will be defined by the criteria set forth for the appointment of tenure-track Assistant Professors. In all cases the candidate must have demonstrated superior scholarship through national recognition.

Appointment at senior rank normally entails tenure. A probationary appointment at senior rank

is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Dean and Office of Academic Affairs, with review for tenure (but not necessarily promotion) occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, but the University will not grant tenure without permanent residency.

2. Clinical Faculty

Appointment of clinical faculty entails a three- or five-year contract. The initial contract is probationary. Tenure is not granted to clinical faculty. There is no presumption that subsequent contracts will be offered, regardless of performance. If the School wishes to consider contract renewal, a review of the faculty member is required in the penultimate year of the current contract period. The policies on appointment must be consistent with Section 3.1.3 of the College of Engineering Appointments, Promotion, and Tenure Document and Faculty Rule 3335-7 (<http://trustees.osu.edu/rules/university-rules/rules7/>).

Clinical faculty in the School are referred to as “(Assistant, Associate, or Full) Professor of Practice in (Architecture, Landscape Architecture, or City and Regional Planning)”. Distinctions among ranks are based on the level of distinction attained by the candidate. Clinical faculty may participate and vote in matters of governance and committee service in the School and their respective Sections. However, they cannot participate or vote on promotion and tenure matters of tenure-track faculty.

Assistant Professor of Practice. The successful candidate must provide clear evidence of capability in his/her area of specialization and experience in the practice of the discipline. The successful candidate must possess the background and ability to share and transfer knowledge to students. Normally, the successful candidate will have an earned professional degree in his/her relevant field. Professional publications and teaching experience are helpful but not required.

Associate or Full Professor of Practice. The successful candidate must meet or exceed the School criteria for promotion to these ranks (see Section VII.A.4). In the case of a candidate who has no previous appointment as an assistant professor of practice or tenure-track assistant professor, the candidate must have demonstrated superior proficiency in the practice of the discipline, as evidenced by the candidate’s body of work and reference letters, and must possess the background and ability to share and transfer knowledge to students.

3. Research Faculty

Appointment of research faculty entails a one to five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to research faculty. There is no presumption that subsequent contracts are offered, regardless of performance. If the School wishes to consider contract renewal, a review of the faculty member is required in the penultimate year of the current contract period. The policies on appointment must be consistent with Section 3.1.4 of the College of Engineering Appointments, Promotion, and Tenure Document and Faculty Rule 3335-7 (<http://trustees.osu.edu/rules/university-rules/rules7/>).

Research faculty in the School are referred to as “Research (Assistant, Associate, or Full) Professor in (Architecture, Landscape Architecture, or City and Regional Planning)”. Distinctions

among ranks are based on the level of distinction attained by the candidate. Research faculty may participate and vote in matters of governance and committee service in the School and their respective Sections. However, they cannot participate or vote on promotion and tenure matters of tenure-track or clinical faculty.

Research Assistant Professor. Appointment at the rank of research assistant professor requires that the individual have a terminal degree and a record of high-quality research.

Research Associate Professor and Research Professor. Appointment at the rank of research associate professor or research professor requires that the individual have a terminal degree and meet, at a minimum, the School's criteria for promotion to these ranks (see Section VII.A.5).

4. Associated Faculty

Associated faculty appointments may be as short as a couple of 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. With the exception of visiting faculty, associated faculty may be reappointed.

Such appointments expire on or before a date specified by the College of Engineering in the fiscal year in which the appointment commences. Associated faculty and emeritus faculty may participate in discussions on non-personnel matters, but may not participate in personnel matters, including promotion and tenure reviews, and may not vote on any matter.

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

Lecturer. Appointment as lecturer requires that the individual have, at a minimum, a professional degree or equivalent 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 or promotion. The Lecturer position is to be used only when a specific instructional need is identified in the School.

Senior Lecturer. Appointment as senior lecturer requires that the individual have, at a minimum, a professional degree in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a terminal degree or equivalent and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The Senior Lecturer position is to be used only when a specific instructional need is identified in the School.

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

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. The visiting faculty rank is typically conferred on candidates who hold a faculty appointment at

another institution or hold a significant position in the profession. Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members on leave from a regular 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 consecutive years at 100% FTE.

5. Courtesy Appointments for Faculty

Occasionally, the academic involvement in the School by a tenure-track, clinical, or research faculty member from another unit at Ohio State warrants a 0% FTE (courtesy) appointment. Appropriate involvement includes scholarship collaboration, graduate student advising, and/or teaching. A courtesy appointment is made at the individual's current Ohio State rank.

B. Procedures

See Volume 1 in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/assets/files/documents/HBVol1.pdf>) on the following topics:

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

1. Tenure-track Faculty

A national search is required to ensure a diverse pool of highly qualified candidates for all tenure-track positions. The College and the Office of Academic Affairs must give advance approval to any exceptions to this policy. Search procedures must be consistent with the University policies set forth in the most recent update of A Guide to Effective Searches (<http://www.hr.osu.edu/hrpubs/guidesearches.pdf>). The search proceeds as outlined below.

The Dean of the College grants approval to the School to begin a search. This approval may be accompanied by constraints with regard to salary, rank, and field of expertise.

The Section Head appoints a Faculty Search Committee comprised of at least three faculty and one student from within the Section and one faculty member from outside the Section. The Section Head also appoints the Chair of the Committee.

The Faculty Search Committee's responsibilities are as follows:

- Appoint a Diversity Advocate who ensures that vigorous efforts are made to gather a diverse pool of qualified applicants.
- Write a search announcement for external advertising and internal posting. Internal postings occur in the University Personnel Postings (formerly known as the "green sheet") through the Office of Human Resources Employment Services (<http://www.hr.osu.edu/>). The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive

before the conclusion of the search. The announcement is subject to the Section Head's approval.

- Coordinate external advertising and direct solicitation of nominations and applications. Note that the University does not grant tenure in the absence of permanent residency ("green card"). Also, federal guidelines prohibit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure-track position included an advertisement in a field-specific internationally circulated journal.
- Identify leading candidates. The Search Committee will review all applications in a timely manner and identify a minimum of three leading candidates in consultation with the Section Head and School Director. The leading candidate applications will be made available to the School faculty before candidate visits.
- Coordinate candidate visits. Leading candidates will visit the School to speak with the School Director, Section Head, faculty, students, and staff. Candidates will also deliver a lecture to the School, and be given a tour of the campus and city.
- Solicit comments. Faculty members within the Section will review the candidates' applications and may provide written comments to the Search Committee. The Search Committee will also solicit comments from School faculty outside the Section as well as students, and any other relevant parties.
- Hold a section faculty meeting, which must be attended by a quorum of tenure-track faculty within the Section (see Section II.C). At this meeting, the Committee will lead and document a discussion of the candidates. After the discussion, the Committee will conduct a secret ballot in answer to the question: "Do you support the hiring of _____ in the _____ Section of the Knowlton School?" All section faculty may participate in the discussion, but voting is limited to tenure-track faculty. Absentee ballots and proxy votes are not permitted, but eligible faculty who participate in the meeting by teleconference are allowed to vote.
- Write a report. The report outlines the search process, diversity efforts, summarizes the attributes of the leading candidates, includes pertinent comments from faculty, students and staff, and provides the result of the poll. The report also provides a recommendation on the hire.

The School Director will make a final decision after considering all candidates and after reviewing all recommendations of the Search Committee, the Section Head, the relevant areas, and the faculty vote. If more than one candidate achieves the level of support required to extend an offer, the School Director chooses the candidate to approach first. The School Director, in consultation with the Section Head, determines the details of the offer, including compensation. The Dean must approve any offer letter sent to a candidate.

Additional appointment procedures include:

- For offers at the Associate or Full Professor ranks, with or without tenure, an evaluation by the Promotion and Tenure Committee and a discussion and vote by the eligible faculty are required. They are asked the following question: "The Search Committee recommends that the appointment be at the rank of _____; do you agree with this recommendation?"

- Procedures are identical to those for promotion review of tenure-track faculty, with the exception that some recommendation letters may be included. Before the evaluation, candidates are given the opportunity to provide additional material on their teaching, scholarship and service record beyond that provided with their application.
- All offers at the Associate Professor and Full Professor ranks, with or without tenure, and all offers of prior service credit require the prior approval of the Dean and the Office of Academic Affairs. Offers to foreign nationals require prior consultation with the Office of International Affairs.
- In the case of conflict of interest, or familial or comparable relationship with the candidate, any conflicted faculty members will not be involved in the search process and will not be allowed to vote on the candidate.
- After the successful appointment of the new faculty member, the Section Head will appoint an appropriate mentor or mentors to aid the new faculty member with regard to the University's procedures and processes of teaching, scholarship and service.

2. Clinical Faculty

Searches for clinical faculty generally follow those for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview addresses professional practice rather than scholarship. Highly qualified clinical candidates may be considered for appointment without a national search, but only when there is a reasonable likelihood that a national search would not provide more highly qualified and/or more diverse candidates. The Dean must first approve the decision to interview a candidate without a national search. The School Director, in consultation with the Section Head, determines the details of the offer, including the length of the initial contract. The Dean must approve any offer letter sent to a candidate.

Appointments at the rank of Associate Professor of Practice or Professor of Practice require evaluation by the Promotion and Tenure Committee, and a discussion and vote by eligible faculty. This includes a requirement for external evaluation letters commenting on the candidate's teaching and/or professional practice, although recommendation letters may also be included.

3. Research Faculty

Searches for research faculty generally proceed identically as for tenure-track faculty, although highly qualified research candidates may be considered for appointment without a national search. The Dean must first approve the decision to interview a candidate without a national search. Sources of funding for research faculty positions must also be identified and secured prior to appointment. The School Director, in consultation with the Section Head, determines the details of the offer, including the length of the initial contract. The Dean must approve any offer letter sent to a candidate.

Appointments at the rank of Associate Research Professor or Research Professor require evaluation by the Promotion and Tenure Committee and a discussion and vote by eligible faculty. This includes a requirement for external evaluation letters commenting on the candidate's scholarship, although recommendation letters may also be included.

4. Transfer from the Tenure-track

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure-track faculty members who transfer to a clinical or research position must resign their tenure-track position, relinquishing tenure if applicable. Such transfers are initiated for consideration only upon the written request of the faculty member. In cases involving probationary faculty, the request for transfer must be initiated by the faculty member in writing by April 1 of the year before a mandatory review in order to stop that mandatory review. A faculty member undergoing mandatory review may not request a transfer after receiving notice that the provost has decided not to recommend tenure and promotion. All requests for transfer must provide clear evidence of changes in the individual's career goals and expectations, duties and activities (OAA Faculty Appointments 2.5; <http://oaa.osu.edu/assets/files/documents/HBVol1.pdf>). Transfers must be approved by the School Director, the College Dean, the Executive Vice President, and Provost.

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

5. Associated Faculty

The appointment, review, and reappointment of all compensated associated faculty, such as lecturers and faculty members with less than 50% appointments, is decided by the Section Head in consultation with the School Director. The College must approve offer letters to associated faculty.

Any School faculty member may propose the appointment of adjunct or visiting faculty. Only the School Director may offer a visiting faculty position.

Associated appointments are generally made for a period of one year, unless a longer or shorter period is appropriate to the circumstances. All associated appointments expire at the end of the appointment term and must be formally renewed to be continued. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a term-by-term basis.

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track faculty (see Appointment Criteria above), with the exception that the review does not proceed to the College level if the School Director's recommendation is negative, and does not proceed to the University level if the Dean's recommendation is negative.

6. Courtesy Appointments for Faculty

Any School faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State University Unit. The faculty advocate must provide a letter justifying the need for the courtesy appointment. In addition, the candidate must provide a resume and any other pertinent information detailing the candidate's scholarship record.

The Section faculty will evaluate the candidate's documentation and make a recommendation to the Section Head as to the candidate's suitability for the position. The School Director will then either accept or reject the candidate's request. The faculty member who receives the courtesy appointment is expected to provide an activity report every year, describing the

contributions made to the School. The appointment will be evaluated every fifth year, and if the contributions to the School are insubstantial, the School Director will terminate the courtesy appointment. However, the School Director can also terminate the appointment at any time if the appointment is not in the best interests of the School.

V. Annual Review Procedures

The School follows the requirements for annual reviews as set forth in the Faculty Annual Review Policy (<http://oaa.osu.edu/assets/files/documents/annualreview.pdf>).

The annual reviews of every faculty member are based on expected performance in teaching, scholarship, and service as set forth in the School's Pattern of Administration, on any additional assignments and goals specific to the individual, and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described in Section VI.C. This material must be submitted to the Section Head no later than April 1. Probationary tenure-track faculty must also submit the additional materials described in Section V.A.

The Section Head is required (per Faculty Rule 3335-3-35 (<http://trustees.osu.edu/rules/university-rules/rules3/ru3-35.html>)) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04; <http://trustees.osu.edu/rules/university-rules/rules5/ru5-04.html>) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

A. Probationary Tenure-track Faculty

Every probationary tenure-track faculty member will annually complete a dossier in the standard format for promotion and tenure as defined by the Office of Academic Affairs, and provide supplementary information as specified in Section VI.C. This material must be submitted to the Section Head by April 1.

The Section Head, in consultation with an Advisory Committee, conducts the annual reviews. The Advisory Committee consists of three senior faculty, with at least one from another Section in the School. Advisory Committee members rotate, with one member being replaced every year. The Advisory Committee writes a report evaluating progress in teaching, scholarship, and service. This report is advisory to the Section Head. The Section Head writes a separate evaluation of progress in teaching, scholarship, and service, and concludes with a recommendation on whether to renew the probationary appointment. The School Director reviews the Advisory Committee Report and Section Head's evaluation, and makes the final decision on reappointment. The Section Head and the School Director meet with the candidate to discuss the Advisory Committee Report, the Section Head's evaluation, and the Director's decision on reappointment. Following the meeting, the probationary faculty member is given copies of the Advisory Committee Report, the Section Head's letter, and the School Director's letter.

If the School Director recommends reappointment, then the recommendation is final. The School Director's letter renews the probationary appointment for another year and includes recommendations on future plans and goals. The faculty member may provide written comments on the review. The Section Head's letter, the School Director's letter, and the faculty member's comments (if provided) are forwarded to the Dean of the College. The Advisory Committee's Report is not forwarded. In addition, the Section Head's letter, the School Director's letter, and faculty member comments (if provided) become part of the dossier for promotion and tenure. The Advisory Committee's Report does not become part of the dossier.

If the School Director recommends nonrenewal, the Fourth-Year Review process is invoked (per Faculty Rule 3335-6-04; <http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html>). Following completion of the Fourth-Year Review, the complete dossier is forwarded to the College for review and the Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

1. Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are not solicited. At the conclusion of the School review, the formal comments process (per Faculty Rule 3335-6-04; <http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html>) is followed and the case is forwarded to the College for review.

2. Exclusion of Time from Probationary Period

Faculty Rule 3335-6-03 (D) (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-03.html>) sets forth the conditions under which a probationary tenure-track faculty member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs Policies and Procedures Handbook (<http://oaa.osu.edu/policiesprocedureshandbook.html>).

B. Tenured Faculty

The Section Head will meet annually with every tenured faculty member to discuss the faculty member's performance and future goals. Before this meeting, the Section Head may consult with an Advisory Committee, which will write a report evaluating the faculty member's performance in teaching, scholarship, and service. Following this meeting, the Section Head will write an independent evaluation to provide feedback on teaching, scholarship, and service. Within 10 days after the written review, the faculty member may respond in writing to the review. The Section Head's letter and the faculty member's response (if provided) are included in the faculty member's file. The Advisory Committee's Report (if provided) is not included in the faculty member's file.

The School Director must ensure that annual review letters are candid, constructive, and give appropriate feedback to the faculty member as described by Faculty Annual Review Academic Affairs (1.4, 1.5, 1.51; <http://oaa.osu.edu/assets/files/documents/annualreview.pdf>). To this end, the School Director will review annual review letters, and may request revisions. In addition, the School Director may enlist an advisory committee to provide a preliminary review to advise an Associate Professor on promotion to Full Professor.

C. Clinical Faculty

Annual review procedures for clinical faculty differ for probationary and non-probationary faculty, and also for both probationary and non-probationary faculty in the penultimate contract year. Note that the initial contract of all clinical faculty members is probationary regardless of the academic rank at hire. The duration of the initial contract defines the length of the probationary period.

Probationary, not penultimate year: Probationary clinical faculty member annual reviews are identical to those of probationary tenure-track faculty with two exceptions: the use of an Advisory Committee is left to the discretion of the Section Head and will include clinical faculty whenever possible, and if the School Director does not recommend contract renewal as a result of the review process, the penultimate year procedures described below are invoked.

Probationary, penultimate year: There is no presumption of reappointment at the end of a contract

period. At the beginning of the penultimate year, the School Director consults with the Dean to determine whether the position held by the faculty member will continue. If the position will not continue, the School Director informs the faculty member that the final contact year will be the terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-07-8.html>) must be observed. No annual review is required in this situation.

If the position will continue, an abbreviated version of the tenure review process takes place as outlined below.

- The candidate provides a dossier that follows the Office of Academic Affairs dossier outline and additional documentation as per Section VI.C.
- The Promotion and Tenure Committee:
 - reviews the dossier for completeness and accuracy and suggests revisions,
 - prepares a report on the candidate's performance in teaching, scholarship, and service as outlined in this document's Section VII.B,
 - makes the candidate dossier, Committee report, and Section Head evaluation (described below) available to eligible faculty two weeks before the meeting of eligible faculty,
 - leads the meeting of eligible faculty to discuss the candidate's performance in teaching, scholarship, and service and conduct a secret vote on the question, "Do you support the reappointment of (candidate's name) as Assistant/Associate/Full Professor of Practice?", and
 - provides a written summary of the faculty discussion and vote.
- The Section Head writes an independent evaluation and recommendation, which is available to eligible faculty two weeks before their meeting to discuss reappointment.
- The School Director reviews the Promotion and Tenure Committee report and the Section Head's evaluation and recommendation, and makes the final decision on contract renewal. If the Director departs from the recommendation of the eligible faculty, he will inform the eligible faculty in a meeting. Faculty comments are invited at this meeting or in writing within two days after the meeting.

Nonprobationary, not penultimate year: Annual reviews follow procedures identical to those for tenured faculty.

Nonprobationary, penultimate year: There is no presumption of reappointment at the end of a contract period. At the beginning of each penultimate contract year of a clinical faculty member's appointment, the School Director will consult with the Dean to determine whether the position held by the faculty member will continue. If the position will not continue, the School Director will inform the faculty member that the final contact year will be the terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-07-8.html>) must be observed. No annual review is required in this situation.

If the position will continue, the annual review in the penultimate year is conducted following procedures identical to those for annual reviews of tenured faculty. In addition, the School Director provides an independent evaluation of the faculty member's performance in teaching, scholarship, and service. Performance is considered from contract inception and the evaluation concludes with a recommendation on reappointment. If the School Director recommends reappointment, the decision final and it is forwarded to the Dean.

If the School Director does not recommend reappointment, there is an additional review of the candidate's performance by the School's Promotion and Tenure Committee. The Promotion and Tenure Committee prepares a report on the candidate's performance in teaching, scholarship, and service as outlined in this document's Section VII.B. Performance is considered from contract inception and the evaluation concludes with a recommendation on reappointment. This letter is forwarded with the School Director's letter for the Dean's consideration. The Dean makes the final decision.

D. Research Faculty

Annual review procedures for research faculty differ for probationary and non-probationary faculty, and also for both probationary and nonprobationary faculty in the penultimate contract year. Note that the initial contract of all research faculty members is probationary regardless of the academic rank at hire. The duration of the initial contract defines the length of the probationary period.

Probationary, not penultimate year: Procedures are identical to those of probationary clinical faculty who are not in their penultimate year.

Probationary, penultimate year: Procedures are identical to those of probationary clinical faculty who are in their penultimate year

Nonprobationary, not penultimate year: Procedures are identical to those of nonprobationary clinical faculty who are not in their penultimate year.

Nonprobationary, penultimate year: Procedures are identical to those of nonprobationary clinical faculty who are in their penultimate year.

VI. Merit Salary Increases and Other Rewards

A. Criteria

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

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

Meritorious performance in teaching, scholarship, and service are assessed over the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance and consistent growth in all applicable areas of endeavor will be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

B. Procedures

The Section Head recommends annual salary increases and other performance rewards to the School Director, who may modify these recommendations. As a general approach to salary recommendations, the Section Head divides faculty into at least four groups based on continuing productivity – high, average, low, and unsatisfactory – and considers market and internal equity

issues as appropriate.

Faculty members who wish to discuss dissatisfaction with their salary increase with the School Director must 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.

C. Documentation

The annual performance review of every faculty member requires that the documentation described below be submitted to the Section Heads no later than April 1:

- Updated CV that will be made available on the School website.
- Annual report following the format determined by the School Director in consultation with the Section Heads. In particular, the report will describe the faculty member's accomplishments in teaching, scholarship, and service during the previous academic year, and any other information deemed pertinent by the faculty member or requested by the School Director or Section Head. Examples of such "other information" can include indicators of special recognition of the faculty member, special service endeavors, external awards, etc.
- One-page summary of the annual report that highlights key accomplishments in teaching, scholarship, and service during the previous academic year.
- Documentation of one student project for each studio taught, for those faculty teaching a design studio. Documentation format will be determined by the School Director in consultation with the Section Heads.
- In addition to that required above, consideration is given for additional documentation as listed in Section VII.C.

VII. Promotion and Tenure and Promotion Reviews

A. Criteria

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

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

1. Promotion to Associate Professor with Tenure

Faculty Rule 3335-6-02-C 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.

The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the School's academic mission at a high level for the duration of their time at the university. Tenure is not awarded below the rank of Associate Professor at The Ohio State University.

Every candidate must meet the School's expectations in all aspects of performance, as defined for each faculty member in their letter of offer and subsequent annual review letters from the Section Head. All candidates are held to a high standard in the areas central to their responsibilities, and must establish a substantial probability that this standard in teaching, scholarship and service will continue.

Finally, a failure to conduct oneself in a consistently ethical manner, as defined for example in the American Association of University Professors' Statement on Professional Ethics (<http://www.aaup.org/report/statement-professional-ethics>) may justify an unfavorable review outcome.

The criteria listed below apply both to promotion to the rank of associate professor with tenure, and, in the case of untenured associate professors, to the award of tenure.

Teaching

High quality teaching is the provision to all students the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. For promotion to associate professor with tenure, a faculty member must demonstrate the ability to:

- organize and present class material with logic and enthusiasm,
- develop intellectually by providing up-to-date course content,
- employ different technologies and teaching strategies as appropriate,
- create a learning environment that stimulates intellectual growth and/or technical facility by engaging students and encouraging independent thought,
- assist and respect students inside and outside the classroom, providing timely and appropriate feedback,
- demonstrate efforts to improve teaching,
- improve the curriculum through revision or new development of courses and/or academic programs, and
- serve as a student advisor in the faculty member's area(s) of expertise.

In addition, the School expects that the candidate will exhibit high quality teaching or that the teaching quality show a positive trajectory over time. Poor teaching evaluations punctuated by the occasional good, or even excellent, performance are not considered sufficient for promotion and tenure. This applies in similar fashion to the candidate's performance in student advising and on the various forms of examination committees.

Scholarship

High quality scholarship is demonstrated by a coherent body of work that has made a distinct contribution to the discipline, is gaining national or international recognition, and promises continued growth.

Faculty Rule 3335-6-02-A1 states:

“Research” is broadly defined to include discovery, scholarly and creative work, applied research, and the scholarship of pedagogy.

Scholarship may take the form of publication of books, peer-reviewed articles in journals or conference proceedings, and editor-reviewed articles in books, journals or conference proceedings. In addition, scholarship includes but is not limited to significant work encompassing practice, curation of content for exhibitions and symposia, and design and other commissioned or noncommissioned design activities, including the production of physical artifacts. Scholarship must always find a public venue, and peer-reviewed high-quality venues are preferred.

Scholarship is evaluated according to the following criteria:

- *original*
The body of work must clearly demonstrate an independent and distinct contribution to the discipline. This is the case whether the work is produced alone or in collaboration with others. If the candidate does collaborative work, the candidate must document his or her distinct contribution. The work must clearly state the principal affiliation with Ohio State University.
- *thematically focused*
A candidate’s body of work must be informed by a coherent theme that is clearly articulated.
- *consistent and continuing*
A candidate may have a slower rate of production while formulating a scholarship program early in his or her career, but is expected to have an established program by promotion review. The school recognizes that scholarship rates of production vary, but values a continuing and improving trajectory of production.
- *influential*
Indicators of influence include citations in the relevant literature, awards, and invitations to speak at high quality forums, to lead design workshops, to review scholarly writings and grant applications, and to judge competition entries.

The ability to obtain and sustain scholarly program funding is an added indicator of scholarly achievement and influence. Funding should be sought to advance scholarship where appropriate. However, the School recognizes that funding opportunities in its disciplines may be limited.
- *published or exhibited in respected venues*
The School recognizes that measurable influence may be difficult to achieve for scholars at the beginning of their careers; thus, it also looks to other indicators of quality. These indicators include the quality of the journals, their impact ratings when available, the quality of the publisher in the case of books, whether the publication is subject to peer review and if so to the rigor of the review process, and the acceptance rate. For

indicators of the quality of conferences and other significant scholarship, the School looks to the stature of the venue, the rigor of the review process, and to the selectivity of the venue or other prevailing criteria that clearly demonstrate high quality.

- *student development*
All candidates are expected to advise students effectively and help them develop as practitioners and, in Sections with doctoral programs, as future scholars.
- *ethics*
The candidate should have demonstrated a high degree of ethics in the conduct of scholarship including, but not limited to, full and timely adherence to all regulations relevant to the scholarly program, and ethical treatment of students and collaborators.

Service

Heavy service commitments are inappropriate for probationary tenure-track faculty and are discouraged by the School. Nonetheless, for promotion to associate professor with tenure, a faculty member is expected to have:

- made contributions to the governance and advancement of the School in a collegial manner that facilitates positive contributions by others, and
- demonstrated the ability for useful contributions to the College, the University, professions, and/or civic community.

The School evaluates the quality and quantity of service in the context of the individual faculty member's distribution of effort.

2. Promotion to Professor

General considerations

Faculty Rule 3335-6-02-C (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-02.html>) 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.

Promotion to Professor recognizes a record of sustained accomplishment. The specific criteria in teaching, scholarship, and service for promotion to Professor are similar to those for promotion to associate professor with tenure, with the added expectation of increasingly influential scholarship contributions, a record of continuing professional growth, and evidence of established national or international reputation in the field. For promotion to Professor, the School reviews the entire record, but most heavily weighs the activities of the five to seven years leading up to the application for promotion. The School expects very clear indications that high quality performance will continue beyond promotion.

The School recognizes that there is more than one path to promotion to Professor. The Section Head, in consultation with the Director, will help Associate Professors assess their strengths and how they lead to promotion. Annual review letters will outline a path by establishing expectations in teaching, scholarship, and service that are to be met for consideration for promotion. Evaluation for promotion will take place in the context of the faculty member's success in meeting these expectations.

Teaching

For promotion to Full Professor, excellence in teaching may be demonstrated by the following.

- Academic development of graduate students and young faculty members as indicated by:
 - graduates who have demonstrably contributed to their discipline through academic or professional accomplishments, and
 - junior faculty whose academic productivity has been supported and enhanced.
- Active engagement in the curriculum as indicated by:
 - serving when asked in a leadership role such as Undergraduate or Graduate Program Chair or any other role that advances the quality of the Section's curriculum, and
 - developing unique and innovative teaching tools.
- Consistent record of high-quality teaching, as documented by student and peer evaluations.
- A teaching portfolio that demonstrates the depth and breadth of teaching content and the creativity of teaching techniques within the context of the candidate's evolving pedagogy.
- Serving when assigned, on curriculum committees at the School, College, and/or University level.
- Authoring textbook(s), book chapters or other scholarly writings that contribute to the scholarship of teaching.
- National or international recognition as indicated by awards for teaching, invitations to teach at peer institutions, presentations on pedagogy at high quality venues, and high quality contributions to continuing education.

Scholarship

For promotion to Full Professor, the candidate should have a body of work that has evolved since promotion to Associate Professor, has achieved national or international recognition, and promises continued achievement. In evaluating this achievement, influence is given primary weight. Beyond that, the scholarship contribution is expected to continue to be original, thematically focused, and published or exhibited in respected venues.

Service

The candidate is expected to have played a substantial service role in the School and/or to the wider community: the University, the profession, or the civic community. Service to the profession may include editing prestigious journals, organizing conferences, service learning, and service to professional societies and on review panels. Service to the civic community may include offering design and planning services in one's capacity as an OSU faculty member at the local, national, or international level.

3. Clinical Faculty

All clinical faculty are expected to:

- engage in teaching, the development of the School academic program, and the

- mentoring of students,
- participate in significant professional practice that contributes to the scholarly mission of the School, College, and University, and
- contribute to service in the School and profession in a collegial manner.

The teaching activities of clinical faculty must be consistent with the rationale for having clinical faculty in the School, that is, focused on the practice of architecture, landscape architecture, or city and regional planning. Similarly, the non-teaching focus of clinical faculty may be different from that of tenure-track faculty, and be more engaged in activities that advance professional practice. Venues may also be different from those of tenure-track faculty, and activities may emphasize interaction with a professional rather than a scholarly community. Because of its professional focus, the activities of clinical faculty may blur the distinction between scholarship and service that is common with tenure-track faculty, specifically when service is considered in relation to the civic community and the professions.

Promotion to Associate Professor of Practice

Promotion to Associate Professor Practice is based on the candidate's:

- accomplishment in the area of teaching,
- contribution to the scholarly mission of the School, College, and University,
- promise of continued professional growth, and
- service to the School and profession.

Subject to the different emphases for clinical faculty in teaching, scholarship and service described in this section, the criteria for promotion are similar to those for promotion to Associate Professor for tenure-track faculty. It is recognized that teaching and scholarly activities of clinical faculty (in contrast to those of Tenure-track faculty) may show greater emphasis on professional practice.

Promotion to Professor of Practice

Promotion to Full Professor Practice is based on the candidate's:

- sustained accomplishment in the area of teaching,
- continued contributions to the scholarly mission of the School, College, and University,
- continued professional growth, and
- continued service to the School and profession.

Subject to the different emphases for clinical faculty in teaching, scholarship and service described in this section, the criteria for promotion are similar to those for promotion to Professor for tenure-track faculty. It is recognized that teaching and scholarly activities of clinical faculty may show greater emphasis on professional practice. Such contributions when present should be sustained and outstanding for successful promotion to Professor of Practice.

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 scholarship. The criteria for promotion are similar to those under the scholarship and service categories for promotion to Associate Professor with tenure. The importance of maintaining continuous salary support for research faculty may also be recognized. The School takes these distinctions into consideration when evaluating candidates; clear evidence of high-quality scholarly contributions and of graduate student supervision are required in all cases.

Promotion to Research Professor

For promotion to research professor, a faculty member must have a national and international reputation built on an extensive body of scholarship that has a demonstrated influence on the field. A record of continuous funding support may be required, along with demonstrated scholarship productivity as a result of such funding. The criteria for promotion are similar to those under the scholarship and service categories for promotion to Professor. The School takes these distinctions into consideration when evaluating candidates; clear evidence of high-quality scholarship contributions and of graduate student supervision are required in all cases.

B. Procedures

The School's procedures for promotion and tenure and promotion reviews are consistent with those set forth in Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html>) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the Policies and Procedures Handbook (<http://oaa.osu.edu/policiesprocedureshandbook.html>).

The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the School.

1. Candidate Responsibilities

It is the responsibility of each faculty member to support his or her case for promotion and/or tenure through careful and accurate preparation of his or her dossier. Candidates are responsible for submitting the necessary documentation in a manner consistent with the applicable requirements of the School, College of Engineering, and Office of Academic Affairs. Tenure-track faculty candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

If external evaluations are required, the OAA requires a minimum of five external evaluation letters, with no more than one-half of those letters in the dossier from persons suggested by the candidate (Faculty Rule 335-6-04 (B)(3)). The candidate recommends three to four external evaluators as requested by the School Director.

For non-mandatory review for promotion and tenure, or for promotion in rank, the faculty member must notify the Section Head and School Director by April 1. With this notification, the candidate will provide the currently available dossier for consideration of the appropriateness of the requested review by the Promotion and Tenure Committee. The Promotion and Tenure Committee will make its recommendation by April 30. The P&T committee can deny an associate professor's request for promotion to professor for one year (3335-6-04(A)(3)).

2. Promotion and Tenure Committee Responsibilities

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

- To review this document annually and to recommend revisions to the faculty.
- To provide a letter for re-appointment consideration of non-probationary research and clinical faculty in cases where non-renewal is recommended by the School Director (see Sections V.D and V.E.)
- To consider requests from faculty members seeking a non-mandatory review in the

following academic year and to decide by majority vote whether it is appropriate for such a review to take place.

- The decision is based on assessment of the record as presented in the faculty member's current dossier submission (see above) and on a determination of the availability of all required documentation for a full review (including student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - A tenured faculty member who requests and is denied a promotion review must be granted a subsequent request (Faculty Rule 3335-6-0; <http://trustees.osu.edu/rules/university-rules/rules6/>). If the denial was based on lack of required documentation and the faculty member insists that the subsequent review go forward despite incomplete documentation, the individual will be advised that such a review is unlikely to be successful.
 - Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for tenure and/or promotion review. The Chair of the Promotion and Tenure Committee must confirm with the School Director that and faculty member seeking tenure and/or promotion review is a U.S. citizen or permanent resident (has a "green card").
 - A decision to permit a review to take place in no way commits the eligible faculty, the School Director, or any other party to the review to making a positive recommendation during the review itself.
- To provide administrative support for the promotion and tenure review process as described below.
 - Review the candidate's dossier for completeness, accuracy, and consistency.
 - Assist the candidate with needed dossier revisions before the formal review process begins.
 - Prepare a report that is an objective assessment of candidates' performance. The report serves three purposes. First, it summarizes the candidate's contributions in teaching, scholarship, and service. Second, it analyzes the candidate's performance in teaching, scholarship, and service following the criteria described in this document's Section VII.A. Third, in each area, the report concludes with a ranking: excellent, very good, good, fair, or poor. The Committee's report does not make a recommendation on promotion/tenure.
 - Secure the candidate's materials, external review letters, and the Committee's report in a location available only to the eligible faculty. This must be done two weeks before the faculty meets to discuss the candidacy. At no time will the materials include anonymous comments or letters.
 - Conduct a meeting of the eligible faculty. The faculty meeting must be attended by a quorum of eligible faculty within the School (see Section II.C.) At this meeting, the Committee will lead and document a discussion of the candidate's record. After the discussion, the Committee will conduct a secret vote in answer to the question: "Do you support the promotion of (candidate' name) to the rank of Associate/Full Professor in the Knowlton School?" Absentee ballots and proxy votes are not permitted, but eligible faculty who participate in the eligible faculty meeting by teleconferencing are allowed to vote.
 - Prepare a letter to the School Director following the faculty meeting that documents the faculty comments and faculty vote.

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

3. Eligible Faculty Responsibilities

The responsibilities of the members of the eligible faculty are outlined below.

- Review the candidate's dossier in advance of the meeting at which the case will be discussed.
- Attend the faculty meeting except in circumstances beyond one's control, to participate in discussion of every case, and to vote.
- Perform peer evaluations of teaching as requested by the Section Head.
- Maintain confidentiality throughout the process.

The Promotion and Tenure Committee's Report does not relieve faculty of the obligation to judge the merits of each candidate for promotion and tenure, balancing higher accomplishments and/or heavier responsibilities in one area against less significant accomplishments in another.

4. Section Head Responsibilities

The Section Head's responsibilities are outlined below.

- Provide copies of annual review letters to the Committee.
- Write an independent summary evaluation and recommendation for the candidate, and include this document with the candidate's dossier at least two weeks before the meeting of eligible faculty.

5. School Director Responsibilities

The responsibilities of the School Director are outlined below.

- Verify the prospective candidate's residency status. Neither tenure nor promotion will be considered if candidates are neither citizens nor permanent residents of the United States.
- Determine suitable external evaluators in consultation with faculty in the candidate's scholarly area, the Section Head, and the Chair of the Promotion and Tenure Committee. This must be done by May 31 for tenure-track faculty.
- Solicit external evaluation letters as required to meet the applicable review schedule (see External Evaluations below.)
- Notify eligible faculty in writing, at least one month in advance, of the time, date, location, and expected duration of the meeting at which the candidacy will be discussed.
- Remove any eligible faculty member from the review of a candidate when the faculty member has a conflict of interest.
- Attend the meeting of the eligible faculty and respond to questions raised during the meeting.
- Write an independent evaluation for each candidate, after reviewing the candidate's complete package.
- Retain faculty ballots in a confidential file for a period of four years.
- Meet with the faculty if the School Director departs from the faculty recommendation.

At this meeting, the School Director will give reasons and invite comments. Faculty may respond at that meeting or in writing within 2 business days after the meeting.

- Notify each candidate in writing of the:
 - availability for review of the Section Head's evaluation and recommendation, the Committee's reports, and the School Director's evaluation and recommendation, and the
 - opportunity to submit written comments on the above material for inclusion in the dossier within ten days (note: the School Director's written notification is accompanied by a form that the candidate returns to the School Director, indicating whether he or she will submit comments.)
- Write a response to any pertinent candidate comments for inclusion in the dossier.
- Forward the completed dossier to the College office by that office's deadline.
- Write an evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units to the Chair of the other tenure-initiating unit by the date requested.
- Determine the continuation status of research and clinical faculty positions in the contract penultimate year, and conduct the re-appointment process for continuing positions.

6. External Evaluations

External evaluations of scholarly activity are obtained for all promotion reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews (excluding fourth-year reviews), all research promotion reviews, and all associated faculty promotion reviews that involve a scholarship component. External evaluations of scholarly activity are not required for clinical faculty unless the faculty member has been involved in significant scholarship. The decision to seek external evaluations for clinical faculty will be made by the School Director after consulting with the candidate, the Section Head, and the Chair of the Promotion and Tenure Committee.

A minimum of five and maximum of seven credible and useful evaluations must be obtained. The criteria of useful evaluations are outlined below.

- Evaluator. Written by a person highly qualified to judge the candidate's scholarship. The evaluator is an esteemed professional or faculty of a rank higher than that of the candidate. The evaluator cannot be a close personal friend, scholarly collaborator, or former academic advisor or post-doctoral mentor. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation.
- Letter. Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is determined by its analytical quality and never by generic assertions.

The School cannot control who agrees to write and or the usefulness of the letters received. Therefore, tenure-track faculty evaluation letters are solicited by the end of May prior to the review year to allow for the request of additional letters if necessary.

The list of potential evaluators is assembled by the School Director using input from the

candidate, faculty, Section Head, and Chair of the Promotion and Tenure Committee. Faculty Rule 3335-6-04 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-04.html>) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. If the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this School require that the dossier contain letters from evaluators suggested by the candidate.

The Promotion and Tenure Committee Chair will take reasonable steps to verify that all reviewers have an "arm's-length" relationship to the candidate, i.e., not advisors, supervisors, relatives, co-authors, scholarly collaborators, or contract administrators. The outside evaluators will be asked to comment on the quality of the candidate's scholarship, specifically the:

- originality of its contribution to the discipline and profession,
- influence of its contribution on the discipline and profession,
- reputation and selectivity of the venues by which it has been disseminated and recognized, and
- standing of the candidate relative to other faculty with similar scholarly interests at the same stage in their careers.

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

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator initiates contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the School Director. The School Director will decide if any action is warranted. It is in the candidate's self-interest to ensure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

C. Documentation

As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. Clinical and Research faculty requesting promotion or undergoing contract renewal review in the penultimate year of a probationary contract will also follow this outline (sections that are not applicable will be included but marked as not applicable.)

While the Promotion and Tenure Committee checks the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate. Tenure-track candidates should heed the P&T Dossier Checklist, which the candidate must sign.

The complete dossier is forwarded when the review moves beyond the School. The documentation of scholarship and service noted below is for use during the School review only, unless reviewers at the College and University levels specifically request it.

1. Teaching

In addition to the required OAA dossier, provide the following for the time period since the last promotion or the last five years, whichever is less.

- Documentation of each class taught, including:

- syllabus,
 - innovative teaching strategies,
 - content added to course to remain contemporary and intellectually stimulating,
 - class handouts, such as assignments, exams, and design project briefs,
 - student work, such as assignments, exams, and design projects,
 - SEI's,
 - student written comments where available,
 - additional peer review comments where available, and
 - improvements to course in response to SEI's, student comments, peer evaluations, and/or the University Center for the Advancement of Teaching (UCAT).
- Pedagogical writings published or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been accepted and is complete with no further revisions required.
 - Documentation of teaching activities as listed in the OAA dossier including:
 - curriculum development,
 - mentoring of undergraduate and graduate students including recommendations for and placement in graduate school, academia, and professional practice,
 - extension and continuing education instruction,
 - presentations on pedagogy and teaching at national and international conferences,
 - adoption of teaching materials at other colleges or universities,
 - awards and formal recognition of teaching, and
 - other teaching activities or recognition as appropriate.

2. Scholarship

In addition to the required OAA dossier, provide the following for the time period since the last promotion or the last five years, whichever is less.

- Writings published or accepted for publication. Writings accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the writing has been unequivocally accepted and is in final form, with no further revisions needed.
- Documentation of physical works such as buildings, landscapes, implemented plans, exhibitions, and competition entries.
- In the case of collaborations, wherever possible, a description of the candidate's contribution in terms of its quality (what was contributed) and its quantity (percentage of the overall production).
- Indicators of scholarly influence such as citations, grants, awards, fellowships, or some other form of peer recognition.
- Indicators of the quality and selectivity of scholarly venues, e.g., venue reputation, review process, and acceptance rates.

3. Service

A candidate must provide any additional information to substantiate the service activities in the core dossier including:

- administrative service to School, College, University, and student groups and organizations,
- service to the civic community,
- service to the profession including professional journals and societies,
- consultation activity with industry, education, or government,
- clinical services, and
- awards and commendations for any of the above.

VIII. Appeals

Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-05.html>) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (<http://trustees.osu.edu/rules/university-rules/rules5/ru5-05.html>).

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.

IX. Seventh-Year Reviews

Faculty Rule 3335-6-05 (<http://trustees.osu.edu/rules/university-rules/rules6/ru6-05.html>) 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.

X. Procedures for Student and Peer Evaluation of Teaching

A. Student Evaluation of Teaching

Use of the Student Evaluation of Instruction (SEI) is required in every course offered in this School. Faculty members try to encourage a high completion rate by explaining to the class the significance of the evaluation.

B. Peer Evaluation of Teaching

The Director, in consultation with the Section Heads, oversees the department's School's peer evaluation of teaching process.

Annually the Section Heads will appoint faculty to conduct peer evaluations of courses taught by faculty. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the School. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

Peer reviews will be conducted according to the following schedule.

- Probationary tenure-track and clinical faculty will be reviewed at least once per year during the probationary period, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned in the probationary period.

- Tenured associate professors and non-probationary associate professors of practice will be reviewed at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a four-year period.
- Tenured professors and non-probationary professors of practice will be reviewed at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.
- At the Section Head or Director's request, the teaching of any faculty member not currently scheduled for review may be reviewed. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.
- At a faculty member's request, she or he may be reviewed to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The Section Head is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the University Center for the Advancement of Teaching (www.ucat.osu.edu).

Reviews conducted upon the request of the department chair or the faculty member focus on the specific aspects of instruction requested by the chair or faculty member.

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

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

C. SEI Framing Statement

Annual evaluation of teaching for all faculty members in the Knowlton School is an important element of formal evaluative processes, including promotion and tenure and merit pay determinations. To this end, all Sections of the School employ the university's online Student Evaluation of Teaching (SEI). However, the use of this standardized tool is not exclusive and the School does not rely solely on SEI's in the assessment of teaching quality. [See: Office of Academic Affairs Policies and Procedures Handbook Volume 1, 1.4.6.2 Student evaluation]. Other evaluative tools and categories include the following.

- Syllabi, web pages, and other course materials.

- Self-assessment and statement of plans and goals.
- Teaching portfolios that demonstrate the depth and breadth of teaching content and the creativity of teaching techniques.
- Curriculum development including new courses and methodologies.
- Peer evaluation of classroom and studio teaching, including external evaluation letters written in support of students' performance.
- Customized evaluation instruments such as Feedback on Your Instruction, offered by the University Center for the Advancement of Teaching (UCAT).
- The success of current and former students such as through publications, presentations at conferences, exhibited work, recognized competition entries, and admission to graduate programs.
- Authoring textbook(s), book chapters, or other scholarly writings that contribute to the scholarship of teaching.
- National or international recognition as indicated by awards for teaching, invitations to teach at peer institutions, presentations at high-quality venues, and high-quality contributions to continuing education.

The School recognizes that all of these tools and modes of assessment may not apply to every faculty member in any given year. Inclusion of several evaluative criteria does indicate, however, that no single form of evaluation will take precedence over another.