

APPOINTMENT, PROMOTION AND TENURE

Criteria and Procedures

Department of History

College of Humanities

Ohio State University

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APPOINTMENT, PROMOTION AND TENURE

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I. PREAMBLE

This document is a supplement to Chapter 6 of the Rules of the University Faculty ("Additional Rules Concerning Tenure Track 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 the University. Should University or College rules and policies 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.

II. DEPARTMENT MISSION

The History Department at the Ohio State University aspires to distinction in scholarship, teaching, and service. As a top-tier department in an eminent public university, we seek to advance the highest standards of our discipline. Because we believe that research inspires great teaching, our mission is to promote the finest historical scholarship, and to offer both graduate and undergraduate students the most rigorous and intellectually challenging education. Espousing the values of a diverse and collegial community of historians, we explore connections across areas, eras, and themes. We strive to provide comprehensive and challenging understandings of the complexity of the human past to audiences across the state, the nation, and the world at large.

III. APPOINTMENTS

The Department of History expects that its senior members will be distinguished scholars within the historical profession and that its junior members will be persons who have reasonable promise of achieving this status. Meritorious research is therefore a necessary condition for appointment or promotion to any continuing position.

A. CRITERIA:

1) TENURE-TRACK FACULTY

a. Appointment as Instructor

Appointments at the rank of instructor should normally be made only 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. 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 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.

b. Appointment as Assistant Professor

To be eligible for appointment as an assistant professor, including promotion from instructor to assistant professor, the candidate should have the Ph.D. degree or its equivalent and should have demonstrated potential for significant published contributions to research in his/her field and ability as an effective teacher of history. An appointment to the rank of assistant professor is always probationary and may not exceed six years of service, 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 is informed by the end of the sixth year whether promotion and tenure will be granted at the beginning of the seventh year.

c. Appointment as Professor or Associate Professor

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 Department 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 Provost.

B. AUXILIARY FACULTY

The Department may extend auxiliary appointments to faculty who provide significant teaching and service. These are not tenured or tenure-track appointments and may or may not have a salary. Auxiliary appointments are made by the Chair, who, when appropriate, will consult with the faculty. An individual with an auxiliary appointment

may not vote at any level of Departmental governance and may not participate in promotion and tenure matters. In the Department of History, auxiliary appointments include:

1. Senior Lecturers

To be eligible for appointment as a senior lecturer, the candidate should have the Ph.D. degree or its equivalent and should have demonstrated ability as an effective teacher of history and potential for significant research. Senior lecturers will teach introductory-level courses only. Their teaching must be evaluated by their students and by the Chair or his/her designee. Senior Lecturers may be reappointed only if their teaching is effective and the Department has a continuing need for their services. Senior Lecturers are compensated.

2. Lecturers

To be eligible for appointment as a lecturer, the candidate must have completed the Ph.D. general examination in history, though not necessarily the doctoral dissertation. Lecturers will teach introductory-level courses only. Their teaching must be evaluated by their students and by the Chair or his/her designee. Lecturers may be reappointed only if their teaching is effective and the Department has a continuing need for their services. Lecturers are compensated.

3. Visiting Faculty

To be eligible for appointment as a visiting assistant, associate, or full professor, the candidate must have credentials as a teacher and scholar similar to those of a tenure-track or tenured faculty member at the same rank, as stated elsewhere in this document. The appointment of a visiting faculty member may not exceed three continuous years. Visiting faculty are eligible to teach at every level of the curriculum, as appropriate to their professional standing as scholars. Visiting faculty are compensated.

4. Adjunct Faculty

To be eligible for appointment as an adjunct assistant, associate, or full professor, the candidate must have credentials as a teacher and scholar comparable to those of a tenure-track or tenured faculty member of the same rank. Adjunct faculty are appointed without salary for a one-year term, which is renewable. Appointment

as an adjunct faculty member is appropriate for those who do not have an appointment at The Ohio State University in another tenure-initiating unit. Adjunct appointments carry an expectation of substantial involvement with and contributions to the academic work of the Department, such as by teaching, or advising, or service on committees.

C: CRITERIA: COURTESY APPOINTMENTS FOR REGULAR FACULTY

For an individual to hold a courtesy appointment in the Department of History, he/she must have a Ph.D. in history (or a related field) and hold a tenure-track appointment in another unit at The Ohio State University. An individual with a courtesy appointment may not participate in Department meetings, be appointed to Department committees, or serve as the sole advisor of doctoral students. However, he or she may hold graduate faculty status, if the Graduate Studies Committee agrees, and in that capacity may direct master's theses and serve as co-advisor to doctoral students and as a representative of an outside field. It is expected that those holding courtesy appointments will be available for such service and may also collaborate with regular faculty in undergraduate courses, in graduate instructions, in program development, and/or in common research endeavors.

The Department of History typically grants courtesy appointments when it seeks to advance these purposes, and terminates such appointments when the same purposes are no longer served.

D. PROCEDURES: APPOINTMENT OF TENURE-TRACK FACULTY, COLUMBUS CAMPUS

After consultation with the faculty in meeting and an affirmative vote on the job description, and after approval by the Dean, the Chair shall appoint a committee to conduct a search for any tenure-track or tenured appointment. The Committee shall include, in addition to faculty members, one graduate student member who shall have the right to vote on all committee recommendations. The committee shall solicit applications broadly and by a variety of means, including but not limited to advertisements in appropriate professional journals, letters to leading scholars asking for nominations, and invitations asking persons to apply for the position. After conducting a thorough national search, including the possibility of personal interviews at appropriate professional meetings, the committee may, with the consent of the faculty, invite top candidates to an on-campus interview, at least one of whom should be an individual who can contribute to the diversity of the unit. If the search committee judges that in the pool of candidates there is no qualified person who can contribute in this way, it will explain to the faculty its efforts to attract a diverse pool of applicants and will describe the pool of applicants and the pool of finalists before asking the faculty to vote on inviting the finalists to campus for an interview. At the end of the search process, the committee will recommend to the faculty its choice or choices for the appointment. In a meeting the faculty will vote to make a recommendation to the Chair, who will negotiate the terms of

the appointment in consultation with the Dean of the College. An affirmative faculty vote of two-thirds or greater is considered a positive recommendation to the Chair.

E. PROCEDURES: APPOINTMENT OF TENURE-TRACK FACULTY, REGIONAL CAMPUSES

In the case of a tenure-track or tenured position on a regional campus, the regional campus Dean/Director has the responsibility for determining the need for a position and the position description but should consult with and seek agreement with the Chair. The Chair and the regional campus Dean/Director will agree on a single search committee consisting of members of both units. The committee shall solicit applications broadly and by a variety of means, including but not limited to advertisements in appropriate professional journals, letters to leading scholars asking for nominations, and invitations asking persons to apply for the position. After conducting a thorough national search, including the possibility of personal interviews at appropriate professional meetings, the committee may, with the consent of the faculty, invite top candidates to an on-campus interview, at least one of whom should be an individual who can contribute to the diversity of the unit. If the search committee judges that in the pool of candidates there is no qualified person who can contribute in this way, it will explain to the faculty its efforts to attract a diverse pool of applicants and will describe the pool of applicants and the pool of finalists before asking the faculty to vote on inviting the finalists to campus for an interview. Candidates should be interviewed by the regional campus Dean/Director, Chair, the search committee, and representatives of both faculties. Candidates will be evaluated on both campuses, with the faculty on the Columbus campus taking primary responsibility for evaluating the candidate's record and potential as a scholar. At the end of the evaluation process, the faculty will make a recommendation to the Chair and the regional campus Dean/Director. An affirmative faculty vote of two-thirds or greater is considered a positive recommendation. A decision to hire requires agreement on the part of the Chair and of the regional campus Dean/Director. Negotiations with a candidate should not begin without such an agreement, and a letter of offer must be signed by the Chair and the Dean/Director of the regional campus.

F: PROCEDURES: APPOINTMENT OF AUXILIARY FACULTY

a. Senior Lecturers

Senior Lecturers will be appointed when the Department needs additional, qualified staff to teach its undergraduate courses. A search committee appointed by the Chair will identify potential candidates and will recommend a ranked list of these candidates to the Chair, who will negotiate the terms of appointment. A senior lecturer's appointments may be renewed annually, provided that their teaching has been effective and the Department has a continuing need for such services.

b. Lecturers

Lecturers will be appointed by the Chair in consultation with the Department's Vice Chair, Director of Graduate Studies, and Academic Program Coordinator. Their appointments will be made on a course-by-course, quarter-by-quarter basis, depending on the Department's need for qualified staff to teach its introductory courses.

c. Visiting Faculty

A Visiting Faculty member is normally appointed for one year by the Chair after consultation with the faculty. A Visiting Faculty member can be appointed for up to three years.

d. Adjunct Faculty

Adjunct Faculty will be appointed by the Chair after consultation with the faculty in a meeting. Such appointments are annual and renewable. Appointment of an Adjunct Faculty member will be at a rank which is equivalent to that which such a person would have as a member of the regular faculty.

G: PROCEDURES: APPOINTMENT OF COURTESY FACULTY

Courtesy appointments in the Department of History are made by the Chair after consultation with the faculty.

IV. ANNUAL REVIEWS OF PROBATIONARY AND TENURED FACULTY MEMBERS

A. PROCEDURES: PROBATIONARY FACULTY

1. At the time of appointment, probationary faculty members shall be provided with all pertinent documents detailing Department, College, and University promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary faculty members shall be provided with copies of the revised documents.

2. The Department Chair and the Committee on Promotion and Tenure shall review all untenured faculty in each year of their probationary service. Faculty shall be reviewed in the areas of research, teaching, and service, and must give evidence of continuing development in each area. The Department 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 used by the

faculty member in reporting accomplishments to date. The annual review enables the Department to communicate its performance expectations to probationary faculty, to evaluate progress towards those expectations, and to avoid reappointment in cases where the candidate is not likely to earn promotion and tenure.

3. Procedures in the fourth year review and the sixth year review are the same, except that external letters are not solicited in the fourth year. Each review results in two letters of evaluation, one from the eligible faculty, as drafted by the Chair of the Committee on Promotion and Tenure or his/her designee, and a separate letter from the Chair. The Committee on Promotion and Tenure may ask the candidate to provide additional materials or ask the candidate questions on aspects of the dossier. Renewal of the appointment of a probationary assistant professor for the fifth year requires the approval of the Dean of the College of Humanities.

4. Faculty under review are responsible for providing an appropriate statement and appropriate professional materials for review to the Committee on Promotion and Tenure. Such materials are described below in Section VI. J., "Documentation", and in the Office of Academic Affairs' current version of the "Guidelines and Procedures for the Promotion and Tenure of Regular Faculty and for the Promotion of Regular Clinical and Auxiliary Faculty." The faculty will submit materials in notebook format following the OAA outline, and the notebook will constitute the faculty member's dossier. The Department Chair and the Committee on Promotion and Tenure may include additional information which they consider relevant for inclusion in the notebook.

5. At the completion of each annual review, the Department Chair shall provide the faculty member and the Dean of the College a copy of the committee's review as well as the Chair's own written assessment of the faculty member's performance and professional development, and an indication as to whether the faculty member should be reappointed for an additional year. The Chair's assessment, which may take the form of an addendum to the committee review, will be based on the committee review, the probationary faculty member's current vita and annual activity report, and any other pertinent information that he/she has received in performing the duties of Chair. The Chair's assessment will constitute the annual performance review of the probationary faculty member and should include both strengths and weaknesses, as appropriate. 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. Probationary faculty members will meet annually with the Chair to discuss their annual reviews and future plans. If they choose, they may

respond in writing to the review of the Committee on Promotion and Tenure and to the Chair's performance review.

6. In the case of a negative review by the Committee on Promotion and Tenure or in a case of a negative recommendation from the Chair in the candidate's first, second, third, or fifth year, the case will be reviewed by the eligible faculty consistent with fourth year review procedures. An affirmative vote, by written and confidential ballot, of two-thirds or greater is considered a recommendation to reappoint the probationary faculty member. The eligible faculty will prepare a report for the Chair in the same manner as would be the case for a fourth year review. The Chair will provide an independent written review of the case and recommendation. The candidate may request a copy of both documents and may provide written comments on the faculty report and/or the Chair's letter for inclusion in the official dossier within ten calendar days of notification of the completion of the review. The eligible faculty 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. On completion of the process, the case will be forwarded to the Dean for college level review. The Dean shall make the final decision on the case.

Should the Chair's recommendation differ from that of the faculty, he or she will explain his/her disagreement with them before informing the candidate of the review's results or, in the case of a recommendation not to renew the appointment, forwarding the case to the Dean.

B. EXCLUSION OF TIME FROM PROBATIONARY PERIODS.

Probationary faculty at the rank of instructor, assistant professor, and associate professor may exclude time from the probationary period under Faculty Rule 3335-47-03. Probationary faculty will be reviewed annually during their probationary periods regardless of whether time is excluded from that period, unless their absence from campus during an excluded period makes the conduct of such a review impractical.

C. PROCEDURES: TENURED FACULTY

Each year, each member of the tenured faculty will provide the Chair with an updated C.V. and an Annual Activity Report summarizing accomplishments in, research, teaching, and service for the year preceding the annual review. The Chair will review these and other documents as appropriate, will seek the advice of colleagues as necessary, and will use this information as the basis for an annual performance review. Following a scheduled opportunity for a face-to-face

meeting between the Chair (or his/her designee) and each faculty member, the Chair will provide each faculty member with written feedback regarding his/her performance and future plans. That review will enable the Chair to highlight performance problems where they exist and to assist faculty in carrying out their professional plans. A tenured member of the Department may respond in writing to the Chair's performance evaluations.

D. PROCEDURES: REGIONAL CAMPUS FACULTY

1. Probationary faculty on regional campuses will be reviewed annually by the regional campus Dean/Director and by the Chair. The regional campus review, which focuses mainly on teaching and service, should take place first. The Dean/Director's report on that review and a copy of the faculty member's annual report will be forwarded to the Chair with a copy to the Dean of the College. The Department review will focus on the candidate's scholarly work and on the appropriateness of course content and course standards, but will consider all aspects of his/her record. The Chair should give a written review to the faculty member and a copy to the Dean/Director.

2. The Departmental review procedures for probationary faculty on the regional campuses will be the same as those followed for probationary faculty on the Columbus campus (see Section IV.A). A tenured member of the regional faculty will serve on the Department's Committee on Promotion and Tenure when it deals with probationary faculty on the regional campuses. It is important that the Chair and the Regional Campus Dean/Director be alert to any developing discrepancy for the probationary faculty member between the quality of teaching and service on the one hand and the quality and quantity of scholarly work on the other, in order to minimize the possibility that the regional campus and the Department may disagree on a tenure recommendation. In the event that the regional campus Dean/Director recommends renewal and the Chair recommends non-renewal, the case must be reviewed by the Dean of the College. The disagreement will be considered during that review, with the Dean's judgment prevailing. If the Dean/Director recommends non-renewal and the Chair recommends renewal, the Chair's judgment shall prevail.

3. The annual reviews of tenured regional campus faculty are conducted by the regional campus Dean/Director. A copy of the Dean/Director's review letter should be sent to the Chair. If the Dean/Director's review raises concerns about a faculty member's performance, particularly in the area of research, the Chair should communicate these concerns to the faculty member in writing and either the Chair or the faculty member may request a meeting to discuss the Dean/Director's review and any other concerns.

E. PROCEDURES: OTHER REVIEWS

1. If, at any time during the year, the Chair finds it necessary to consider the contractual arrangements or continuation of service of any instructor, assistant professor, or associate professor, including tenure and/or promotion, he/she shall so inform the Committee on Promotion and Tenure. The Committee or a subcommittee of full professors shall provide a report to the eligible faculty, which shall make a recommendation to the Chair.

2. Assistant and associate professors may ask to be considered for non-mandatory tenure and promotion reviews at any time. An assistant professor's request for such a review will be evaluated by the Committee on Promotion and Tenure, which will report to the tenured associate and full professors in meeting. An associate professor's request for such a review will be evaluated by the full professors in meeting. A two-thirds vote, by written and confidential ballot, of the appropriate body will constitute a positive recommendation to the Chair. Such a vote might recommend a non-mandatory review for promotion or for promotion with tenure, as relevant. The Chair, the Committee on Promotion and Tenure, or the appropriate faculty body may decline to put forth a faculty member for non-mandatory promotion and tenure review if the candidate's accomplishments are judged not to warrant such a review. An associate professor may not be denied a formal promotion review for more than two consecutive years.

V. MERIT SALARY INCREASES AND OTHER REWARDS

A. COLUMBUS CAMPUS FACULTY: CRITERIA, PROCEDURES AND DOCUMENTATION

The annual performance evaluations will serve as the basis for the Chair's annual salary recommendations, which may be included in the written evaluation which the Chair shall provide to each Department member. In making salary recommendations, the Chair will be advised by a Salary Advisory Committee consisting of the Vice Chair and the elected members of the Advisory Committee from the Columbus campus. Unless the President, Provost, or Dean directs otherwise, all money made available to the Department for annual increments is distributed on the basis of merit in the categories of research, teaching, and service. Merit will be determined by such quantitative indicators as the number of publications, courses taught, graduate students directed, and committees on which the faculty member has served, and by such qualitative indicators as professional awards and prizes for research, teaching, or service, the standing of the press, journals, and professional conferences that served as outlets for research, faculty visibility as editors, members of editorial boards, or leaders in professional societies, and excellent

service on particularly demanding Departmental committees. In making salary recommendations to the Dean, the Chair will normally consider the previous year's performance of individual faculty, recognizing that publication of a major research monograph merits reward over three consecutive years. The chair may take into account the appropriateness of the salary level to the individual's overall performance over several years. The Dean shall determine the amount of incremental money made available to the Department, and the Chair shall discuss salary recommendations with the Dean. When they have agreed on the salary recommendations the Dean will forward his/her recommendations to the Provost's office for concurrence. Final responsibility for all salary and contractual agreements rests with the Board of Trustees.

B. REGIONAL CAMPUS FACULTY

Salary decisions for regional campus faculty are made by each regional campus Dean/Director and are paid out of regional campus funds. Regional campus Deans/Directors should consult with the Chair regarding salary recommendations for regional campus History faculty.

VI. REVIEWS FOR PROMOTION WITH TENURE, AND FOR PROMOTION

A. CRITERIA: PROMOTION FROM INSTRUCTOR TO ASSISTANT PROFESSOR

To be eligible for promotion from instructor to assistant professor, the candidate must have a Ph.D. degree and have demonstrated potential for significant published contributions to research in his/her field and ability as an effective teacher of history.

B. CRITERIA: PROMOTION FROM ASSISTANT TO ASSOCIATE PROFESSOR WITH TENURE

To be eligible for promotion from assistant professor to associate professor with tenure, the candidate must publish a significant body of research in his/her field showing that he/she is capable of sustained original work and significant achievements in research. In the discipline of history, a candidate for promotion with tenure at major research institutions is typically expected to have at least one book published or under final board-approved contract and in production, and to show other evidence of scholarly productivity in the form of conference papers and refereed journal articles and/or book chapters. There must also be evidence that he/she will continue to make original and significant scholarly contributions in the future. In addition, he/she should have demonstrated excellence as a teacher of history on his or her campus, and must have an

excellent record of service as a member of the Department, University, and scholarly communities. These criteria and the procedures for evaluating performance are further elaborated in other paragraphs of this section.

C. CRITERIA: PROMOTION TO PROFESSOR

To be eligible for promotion to professor, a faculty member must have made significant scholarly contributions that have secured him/her a national or international reputation for superior intellectual attainment in his/her field. While the total body of a scholar's work will be considered, it is expected that the faculty member will have published a second body of original and significant research since promotion to the associate professor rank. In the discipline of history, a second body of research usually means a second scholarly monograph published or under final board-approved contract and in production, as well as other evidence of scholarly productivity, such as conference papers, edited work, refereed journal articles, and book chapters beyond those contributed at the time of promotion to associate professor with tenure. In addition, the faculty member must have demonstrated continued excellence as a teacher of history at all levels of the department's curriculum on his or her campus, and must have an excellent record of service to the Department, University, and scholarly communities.

D. CRITERIA: REGIONAL CAMPUS FACULTY

Expectations for regional campus faculty differ somewhat from those for faculty on the Columbus campus. The primary function of the regional campuses is to provide high quality undergraduate instruction and to serve the academic needs of their communities. The relative emphasis on teaching and service expected of regional campus faculty will therefore ordinarily be greater. The Department expects regional campus faculty to establish a program of high quality research and publication, similar to that of faculty on the Columbus campus. The Department recognizes that the greater teaching and service commitment of regional campus faculty requires a different set of expectations. The judgment whether a particular body of work meets Departmental standards for tenure and/or promotion will take into consideration the regional campuses' different mission, higher teaching expectation, and lesser access to research resources.

E. GENERAL PROCEDURES FOR CONSIDERING CANDIDATES FOR PROMOTION AND PROMOTION WITH TENURE

1. The Chair and/or his/her designee (normally the Vice Chair and/or Chair of the Committee on Promotion and Tenure) will serve as the channel of official communication with the candidate. Each member of the appropriate faculty body is responsible for reviewing the candidate's materials and assessing both strengths and weaknesses of the candidate's record in research, teaching, and service.

Three bodies in the Department consider candidates for promotion and tenure:

a. First, the Committee on Promotion and Tenure, appointed by the Department Chair, shall consist of four full professors and two associate professors. Additional members may be appointed in years when the workload is heavier than usual. It is desirable that one half of the Committee members at each level be replaced each year. Only the full professors on the Committee will consider candidates for full professorships. The entire Committee will deal with all other candidates for promotion and tenure. The Chair shall also appoint a regional campus faculty member of the appropriate rank as the seventh member of the Committee to serve when the Committee is dealing with regional campus faculty. The primary responsibilities of the Committee on Promotion and Tenure are 1) to assist candidates for promotion and tenure to gather materials in accordance with the current version of the Office of Academic Affairs' "Guidelines, Procedures, and Dossier Outline for the Promotion and Tenure or Promotion of Regular Faculty and for the Promotion of Regular Clinical and Auxiliary Faculty" and the Department of History's "Statement on Appointment, Promotion and Tenure"; 2) to draft a concise summary of the case; 3) to record the deliberations and vote of the eligible faculty; and 4) to produce the final, evaluative faculty report that explains the vote. The Committee on Promotion and Tenure does not recommend any action to the appropriate body of faculty considering a faculty member for tenure and/or promotion. The original report of the Committee on Promotion and Tenure is not included in the official promotion and tenure dossier that goes to the College.

b. Second, the full professors, as a body, consider all cases for promotion to the rank of full professor. A quorum is a simple majority of the eligible professors. The subcommittee of full professors of the Committee on Promotion and Tenure reports to this body.

c. Third, the tenured associate and full professors as a body consider all cases of tenure and promotion to associate professor. A quorum is a simple majority of the eligible associate and full professors on the Columbus campus. The Committee on Promotion and Tenure reports to this body.

2. Although every member of the eligible faculty has a responsibility for assuring that reviews are procedurally correct, fair, and free from bias, one of the full professors on the committee will be appointed "Procedures Oversight Designee", who should assure that the review body at each level follows the written

procedures governing its reviews, and that the proceedings are free of inappropriate comments or assumptions about any candidate, especially members of under represented groups, that could bias their review. Any procedural difficulties or other concerns about the review should first be brought to the attention of the relevant review body. If they cannot be resolved to the satisfaction of the Procedures Oversight Designee, then they should be brought to the attention of the Chair, who must look into the matter and provide a response to the Designee regarding either actions taken, or why action is judged not to be warranted.

3. In considering a candidate for tenure or for promotion to associate professor with tenure, the Committee on Promotion and Tenure may ask the candidate to provide additional materials or ask the candidate questions on aspects of the dossier.
4. The eligible faculty shall review the candidate's dossier describing accomplishments in research, teaching, and service, attend the meeting at which the candidate's dossier is evaluated, and cast a written ballot on the candidate in meeting. A yes vote, by written and confidential ballot, of two-thirds or greater is considered a positive recommendation to the Chair.
5. To avoid a conflict of interest, faculty members with a familial or comparable relationship with a candidate should not participate in the review of that candidate. Nor should faculty members who have a close professional relationship with the candidate, such as co-authorship of a significant portion of the candidate's publications, participate in the review.
6. The Chair of the Committee on Promotion and Tenure or his/her designee will record in writing the deliberations of the appropriate faculty body, including the numerical vote on the candidate and the faculty's assessment of the quantity, quality, effectiveness, and significance of the candidates' record in research, teaching, and service. After the appropriate faculty body has deliberated and voted on a candidate for tenure and/or promotion, the Chair of the Committee on Promotion and Tenure or his/her designee will read aloud his/her notes on the faculty discussions. After an opportunity to discuss and emend the notes, the faculty will approve them by a majority vote. The Chair of the Committee on Promotion and Tenure or his/her designee will then-write the final faculty report, which may be a revised version of the original report from the committee on Promotion and Tenure. The final faculty report will be included in the official promotion and tenure dossier that goes to the College.
7. The Chair shall prepare a written assessment of the case and his/her

recommendation for inclusion in the official promotion and tenure dossier. When the final faculty report and the Chair's letter are completed, the Chair will so notify the candidate in writing. The candidate may request a copy of both documents and may provide written comments on the faculty report and/or the Chair's letter for inclusion in the official dossier within ten calendar days of notification of the completion of the review. The eligible faculty 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.

8. The Chair shall forward the dossier with all internal and external evaluations, candidate comments on the Departmental review, and Faculty and Chair responses to those comments, if any, to the Dean of the College.

9. 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 Chair in writing. If the review process has moved beyond the Department, the Chair shall inform the Dean or the 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.

10. The 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).

F. PROCEDURES: PROMOTION FROM ASSOCIATE PROFESSOR TO ASSOCIATE PROFESSOR WITH TENURE

An untenured associate professor or professor will normally be reviewed for tenure no later than during the year stated in the individual's letter of offer of a position. The candidate will be reviewed by the appropriate faculty body.

G. PROCEDURES: PROMOTION FROM ASSOCIATE TO FULL PROFESSOR

1. At an appropriate point in the academic year, normally during the Winter quarter, the Chair shall ask each associate professor if he/she wishes to be considered for promotion. If he/she wishes to be considered, he/she should submit to the Chair an up-to-date version of Section III of the core dossier (as described in Section J [below] and in the current version of the Office of Academic Affairs' "Guidelines, Procedures, and Dossier Outline for the Promotion and Tenure or Promotion of Regular Faculty and for the Promotion of

Regular Clinical and Auxiliary Faculty.”). The Chair shall make these materials and any other relevant information available to a review group consisting of the full professors on the Committee on Promotion and Tenure, the full professor elected to the Advisory Committee, another full professor selected by the Chair (preferably drawn from the candidate’s field of expertise), and a full professor selected by the candidate. The Chair shall consult with these full professors in meeting to determine if the associate professor will be considered during the following year for promotion to professor. Members of the review group will conduct a preliminary review of the associate professor’s research, teaching, and service. A positive two-thirds vote by this group on a motion to consider an associate professor for promotion will constitute an affirmative recommendation to the Chair. In the event of a negative vote by the review group, the Chair should consult all full professors in meeting on the case. A positive vote of two-thirds by the larger group will overturn the negative vote of the smaller group and constitute a positive recommendation to the chair. An associate professor may not be denied a review for promotion more than two consecutive years.

2. Associate professors who are considered for promotion will submit materials for review to the subcommittee of full professors on the Committee on Promotion and Tenure. Such materials are described in Section J below and the current version of the Office of Academic Affairs’ “Guidelines, Procedures, and Dossier Outline for the Promotion and Tenure or Promotion of Regular Faculty and for the Promotion of Regular Clinical and Auxiliary Faculty.” The material will be submitted in notebook format following the OAA outline. This notebook, with the addition of internal and external letters, will constitute the candidate’s dossier. The Department Chair and the Committee on Promotion and Tenure may include in the dossier additional information which they consider relevant.

3. The eligible faculty shall review the candidate’s dossier describing accomplishments in research, teaching, and service, attend the meeting at which the candidate’s dossier is evaluated, and cast a written ballot on the candidate in meeting. A yes vote, by written and confidential ballot, of two-thirds or greater is considered a positive recommendation to the Chair.

H. PROCEDURES: PROMOTION OF REGIONAL CAMPUS FACULTY

Regional campus faculty who are candidates for promotion or promotion with tenure (if the Department has agreed to conduct a review) are reviewed by the regional campus faculty according to the process established on each campus, and then by their regional campus Dean/Director. This review focuses on teaching and service. The regional campus Dean/Director forwards the reports of these reviews and a recommendation to the Chair of the Department for inclusion in the candidate’s dossier and for the guidance of

the Department's eligible faculty. From this point the review follows the same course as all promotion and tenure reviews.

I. PROCEDURES: PROMOTION OF FACULTY WITH JOINT APPOINTMENTS

In the case of a faculty member who has a joint appointment but whose tenure initiating unit is the Department of History, the Department of History and the other unit will conduct separate promotion and tenure evaluations. The candidate will place in his/her dossier the teaching evaluations for courses taught in each unit. The Department of History and the other unit will consult about the selection of external evaluators, with the Department of History taking the lead in recruiting the reviewers. The Department of History will share the candidate's dossier with the other unit. The other unit will be asked to make its promotion review committee's document available to the Departmental Committee on Promotion and Tenure, the eligible faculty, and the Chair of the Department of History before the appropriate faculty body conducts its deliberations. The report of the Committee on Promotion and Tenure will be made available to the committee on promotion and tenure in the other unit. The Chair and eligible faculty of the Department and the Chair or Director of the other unit will each report to the Dean of the College of Humanities.

J. DOCUMENTATION FOR PROMOTION WITH TENURE, AND FOR PROMOTION

1. The candidate for tenure and/or promotion shall have primary responsibility for documenting his/her accomplishments in a dossier, prepared in notebook format and in accordance with Office of Academic Affairs guidelines. The Committee on Promotion and Tenure shall be responsible for verifying in writing the accuracy of citations to the candidate's published work and all other aspects of his/her dossier.

2. The Chair or his/her designee (normally the Vice Chair or the Chair of the Committee on Promotion and Tenure) 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 Department. The Chair or his/her designee (normally the Vice Chair or the Chair of the Committee on Promotion and Tenure) 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. 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 Chair or his/her designee shall not be included.

3. Documentation of every promotion and tenure or promotion case will, where appropriate, include the following:

- a. Excellence as a teacher. An effective teacher of history is one who
 - (1) meets the formal classroom obligations of a teacher in the Department of History of The Ohio State University;
 - (2) demonstrates an interest in students;
 - (3) stimulates students' interest in his/her subject;
 - (4) succeeds in conveying knowledge of history and historical method to his/her students;
 - (5) demands standards of intellectual performance suitable for a history department in a major American university, including clear and effective writing;
 - (6) reflects up-to-date scholarship in his/her teaching.

Evaluation of a candidate's performance as a teacher will be based on the widest possible range of evidence. It will include (1) evidence gathered by the Chair or by the Committee on Promotion and Tenure, and (2) evidence offered by the candidate.

Evidence submitted to the Committee on Promotion and Tenure regarding teaching will normally include the following:

- i) Student evaluations for all courses for all the probationary years or, in the case of promotion from associate to full professor, student evaluations for courses taught since the last promotion or in the last five years, whichever is more recent. The standard SEI forms must be used, and may be supplemented by other forms. Consistent with University guidelines, someone other than the instructor being reviewed must administer any instrument of evaluation.
- ii) Summaries of SEIs prepared by the Undergraduate Teaching Committee or another appropriate University authority.
- iii) Syllabi, exams, and assignments for all courses for all the probationary years or, in the case of promotion from associate to full professor, for all courses taught since the last promotion or the last five years, whichever is more recent.

iv) A brief written statement by the candidate of his/her teaching objectives, methods, and accomplishments. This document must include a statement of the candidate's approach to and goals for teaching, a self-assessment, and a description of specific strategies for improvement of teaching.

v) Detailed written evaluations of teaching based on classroom visitations by colleagues. These evaluations should follow the guidelines laid out in the Department's "Policy on Enhancing Teaching and Teaching Evaluation."

vi) Other data that the Department Chair, the Committee on Promotion and Tenure, or the candidate may judge pertinent to an evaluation of the candidate's performance in the area of teaching. This additional data might include:

--Explanations or demonstrations of especially successful or innovative teaching techniques;

--Explanations of special teaching accomplishments, awards, and the like;

--Information regarding the candidate's publication of teaching materials and articles on teaching techniques.

b. Excellence as a scholar. Scholarly excellence entails significant and original contributions to published scholarship in the candidate's field of specialization. Such contributions include the following: new knowledge; information that aids colleagues in the field in carrying forward their own research; empirical evaluations of new or traditional hypotheses to determine their validity; application of historical concepts to other disciplines; and the application of concepts from other disciplines to history in ways that generally advance knowledge.

The usual media for scholarly contributions are evaluated or published book manuscripts, articles in recognized, refereed journals, and presentations at scholarly meetings.

The candidate's achievements and the likelihood of further long-term scholarly accomplishments will be evaluated on the basis of the widest possible range of evidence, including evidence offered by the candidate and that gathered by the-Chair and by the Committee on Promotion and

Tenure. Such evidence will normally include:

- i) Letters from external evaluators. The Chair of the Department and/or the Committee on Promotion and Tenure shall generate a lengthy list of potential evaluators, normally in consultation with senior faculty in the candidate's field of specialization. The potential evaluators should normally be faculty at peer institutions who are in a position to comment in an informed way both on the quality of the faculty member's scholarly work and its significance to the broader field of history. The evaluators should not be former advisers, collaborators, close personal friends, or otherwise have a relationship with the faculty member that could reduce objectivity. Letters from collaborators may be appropriate as a means of determining a faculty member's contributions to joint work, but such persons should not be asked for a letter of evaluation. The faculty member under review should be shown this list and be invited to augment it with a few names of individuals who meet the criteria for objective, credible evaluators and to request removal of one or two names from the list. If the persons nominated as evaluators by the candidate do not meet such criteria, the candidate should be allowed to offer acceptable alternatives. The Department should make a reasonable effort to include at least one letter from someone suggested by the faculty member, with the remaining letters requested from persons not suggested by the faculty member. The Chair should seek approval of the tentative list of prospective evaluators from the Dean. At least three months before completed evaluations are needed, the Department Chair or the Committee on Promotion and Tenure should send out letters asking persons if they would be willing to write an evaluation. The letter of invitation should set forth expectations, anticipated due dates, and pertinent provisions of Ohio law regarding public records. Letter writers should be asked only to provide a critical analysis of a faculty member's scholarly work and should be specifically asked not to comment on other matters, including whether the person should be promoted and tenured at Ohio State University or would be promoted and tenured at the evaluator's institution. Those agreeing to write an evaluation should then be sent appropriate materials needed to conduct the evaluation. External evaluations are intended to aid the independent professional judgment of faculty involved in tenure and promotion decisions, and are not to substitute for that judgment.
- ii) Publications. In evaluating publications and manuscripts, considerations of quality will take precedence over those of quantity, although the pace of publication will be given serious consideration. The eligible faculty will consider the nature of each publication. Although

intrinsic quality is the primary criterion, the type of refereeing and reputation of a publisher or journal can be important considerations. Ordinarily, the Committee will consider monographic or interpretive publications based upon original research as providing primary evidence of scholarly development rather than textbooks or source books conceived primarily for undergraduate instruction. While the Committee on Promotion and Tenure may also seek out---and the candidate may present---published reviews from scholars in the field, the eligible faculty will make its own assessment of the candidate's publications.

iii) Scholarly activity at professional meetings. The quality of the contributions will be the primary consideration in evaluating this activity. Papers, formal commentaries on the papers of others, and participation in colloquia will be evaluated. Again the Committee may seek and the candidate may present evaluations from scholars in the field.

iv) Reviews of scholarly works for journals. The scholarship of the reviews and the nature of the journals in which they appear will be appraised.

v) Scholarly recognition in the form of requests to serve on editorial boards of scholarly journals, to chair sessions at professional meetings and conventions, or to serve on program committees for such meetings.

vi) Recognition in the form of prizes, awards, grants, or fellowships based on scholarly esteem and reputation.

vii) Any other evidence which the candidate, the Chair or the Committee on Promotion and Tenure believe pertinent to his/her development as a scholar. The candidate may include in his/her dossier any manuscripts of articles or papers, whether they have been published or not.

c. Excellence in Service. A member of the Department of History at the Ohio State University has an obligation to use his/her talents to collaborate effectively with colleagues for the betterment of the Department, the University, and the larger community. A faculty member's profile of service may vary over time. The Committee on Promotion and Tenure may gather any information that the candidate, the Chair, or the committee considers pertinent to a full evaluation of the candidate's ability to render effective service to these communities, including evidence relating to the quality and the quantity of such service. The information may include the number of committee meetings

attended, specific projects undertaken, administrative responsibilities assumed, and individual, community or professional contributions. The Department Chair, the Committee or the candidate may solicit written assessments of a candidate's service from those who are in a position to provide them. Other information may include:

- i) Service on Department, College, and University committees.
- ii) Service as an adviser to graduate and undergraduate students.
- iii) Presentations made in the classes of others, contributions to University publications, lectures to the Departmental faculty, and similar activities.
- iv) Activities in the University community and in the community outside the University based on and related to one's professional training and professional concerns.
- v) Activity in the national/international scholarly community and its institutions.
- vi) Service rendered to public or private agencies, foundations, and boards appropriate for an academician and promoting history and its public impact.

VII. 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 the Faculty Rules, supplemented by additional written standards, criteria, policies, and procedures established by tenure initiating units and colleges. If a candidate believes that a non-renewal decision, negative promotion and tenure decision, or denial of a request to be considered for promotion 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 3335-47-05 of the "Additional Rules of the University Faculty Concerning Faculty Appointments, Reappointments, Promotion and Tenure".

VIII. SEVENTH-YEAR REVIEWS

In mandatory promotion and tenure 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, the Department 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 Department 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 Department'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 non-renewal 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 non-renewal issued following the original negative decision.

A faculty member may not request a seventh-year review, appeal the denial of a seventh-year review petition initiated by his or her Department, 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.

IX. REVISION OF RULES

The Chair may ask the Committee on Promotion and Tenure or an *ad hoc* committee to recommend alterations, deletions, and additions to this document. Such recommendations shall be discussed and voted on by the faculty in meeting.