

THE PROMOTION PROCESS

Workshop for Associate Professors — January 22, 2018

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THE OHIO STATE UNIVERSITY
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MAIN TOPICS

- Principles/Philosophy
- Requirements/Criteria
- Process: Telling your story
- Challenges and barriers? How can we help?



GETTING PROMOTED TO 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.”

Rules of the University Faculty, 3335-6-02

Why is promotion to full professor a goal? What is its importance in our academic culture?



Definitions of Areas of Faculty Activity

- **Teaching**
Classroom, non-classroom, and distance instruction; extension and continuing education; advising; supervising or mentoring students or post-doctoral scholars
- **Research**
Discovery; scholarly and creative work; applied research; interdisciplinary research; scholarship of pedagogy; engaged scholarship
- **Service**
Administrative service to the university, professional service to the discipline, and provision of professional expertise to public and private entities beyond the university (“outreach and engagement”)

Adapted from the Rules of the University Faculty



PRINCIPLES/PHILOSOPHY

- Specific criteria developed by the college’s 38 Tenure Initiating Units (TIUs) in their Appointments, Promotion and Tenure (APT) documents
- Every tenure-track faculty has one TIU (even if joint appointment)
- APTs also provide lists of documentation to support specific criteria
- 3 levels of review: unit, college, Office of Academic Affairs, with emphasis on peer-review in TIU
- TIUs establish percentages for a positive vote of the faculty (must be at least a majority)
- Document and evaluate accomplishments **in context of assigned duties**
- Recognize areas of emerging focus as well as established norms in teaching, research and service



RECOGNITION AND REWARD IN A CHANGING ENVIRONMENT

“In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another.”

Rules of the University Faculty, 3335-6-02



RECOGNITION AND REWARD IN A CHANGING ENVIRONMENT

“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.”

Rules of the University Faculty, 3335-6-02



RECOGNITION AND REWARD IN A CHANGING ENVIRONMENT

“Promotion to professor in the College of Arts and Sciences takes the pursuit of scholarly and creative excellence as our core value. The College also recognizes that a career may consist of various phases in which a concentration on scholarly and/or creative activity, teaching, or administrative/professional service creates a composite professional life. Promotion to full professor typically requires excellence in scholarship and/or creative activity. Where a candidate has made truly **extraordinary contributions in the areas of teaching or service**, that record may warrant promotion in combination with a **less extensive, though excellent record of continued productivity in scholarship and/or creative activity.**”

College of Arts and Sciences APT document



PEER REVIEW AS SOCIAL CONTRACT

- Assumes societal deference to peer oversight of the competence and ethics of professional work

DEFINITIONS OF PEER REVIEW IN FACULTY RULES

- Provides the foundation for decisions regarding faculty appointment, reappointment, and promotion and tenure. Peers are those faculty who can be expected to be most knowledgeable regarding an individual's qualifications and performance — normally TIU colleagues or colleagues in related units or centers.
- Recommendations by the faculty vested with the responsibility for providing peer review will be accepted unless they are not supported by evidence presented regarding on how the candidate meets the criteria established by the units.



PEER REVIEW:

RESPONSIBILITIES OF CANDIDATES

Ongoing...

- Submit proposals to peer-reviewed conferences and manuscripts to journals
- Serve as a peer reviewer in the profession
- With the help of colleagues and mentors, make connections with faculty at other institutions at conferences, study sections, and other networking events
- Ensure that department chair and/or relevant committee chair arrange peer teaching evaluations (university minimum requirement is 2; varies by TIU but generally 3-4)
- Retain relevant documentation
- Provide comments to written reviews as warranted



PEER REVIEW:

RESPONSIBILITIES OF CANDIDATES

Preparing for promotion reviews....

- Review unit APT document to understand specific criteria in the unit (<http://www.oaa.osu.edu/governance.html>)
- Formulate questions and **seek mentoring** to understand how these criteria are applied in your unit
- Utilize annual review to **gain feedback** on progress
- Understand screening processes for non-mandatory review in your unit – listed in APT
- Request review under older version of APT if desired (can request version in place at time of promotion to associate if not more than 10 years ago)



NON-MANDATORY REVIEW

- No set period after which one must come up for review
- Annual reviews are key for goal setting and feedback; review letters from the most recent 5 years are included in dossier
- Can only be denied a formal review for one year (most units have a spring screening process through the P and T committee or all eligible faculty to considers requests for review)
- Candidate can withdraw from the review at any point



COLLEGE APT: DEFINITIONS FOR FULL PROFESSOR

- **Scholarship:** attainment of measurable national or international recognition based on an appropriate amount and rate of high quality published research and/or other relevant creative endeavors. A successful candidate will have achieved **national distinction** as a scholar or creative artist and have an **emerging international reputation**.
- Most units also state expectation of **continuing upward trajectory**.



UNIT APT: DEFINITIONS FOR FULL PROFESSOR

Scholarship:

Look for key language/discuss expectations regarding:

- publications and creative activities (rate and amount; peer-reviewed/edited/invited)
- grants and fellowships (internal/external; efforts and scoring if not funded; renewals)
- publications and presentations with graduate students and postdocs
- expectations regarding national/international reputation and measures of impact



UNIT APT: DEFINITIONS FOR FULL PROFESSOR

Scholarship:

Look for key language/discuss expectations regarding:

- new research areas (explain trajectory and any publication gaps)
- scholarship involving teaching and/or service (e.g., textbooks; case studies; presentations on teaching methodologies)
- pipeline of work in progress
- leadership role in collaborative work
 - can use informational collaborator letter(s) to clarify
 - includes community partners if relevant



COLLEGE APT: DEFINITIONS FOR FULL PROFESSOR

- **Teaching:** provision to all students of the opportunity to realize their full capabilities for learning and, to the most capable and motivated students, an enhanced learning experience. It can be measured by the attainment of national or international recognition, as evidenced by pedagogical publications, awards, honors, and/or critical student outcomes.



UNIT APT: DEFINITIONS FOR FULL PROFESSOR

Teaching:

Look for key language/discuss expectations regarding:

- undergraduate and graduate advising
- curriculum/course development
- what constitutes **SUSTAINED excellence**
- ongoing professional development (how you continue to evolve as a teacher)
(new section in core dossier to document this)



COLLEGE APT: DEFINITIONS FOR FULL PROFESSOR

- **Service:** provision of a high level of professional expertise and experience to one or more publics – including the university, the Columbus community, the State of Ohio, the nation, and professional organizations.



UNIT APT: DEFINITIONS FOR FULL PROFESSOR

Service:

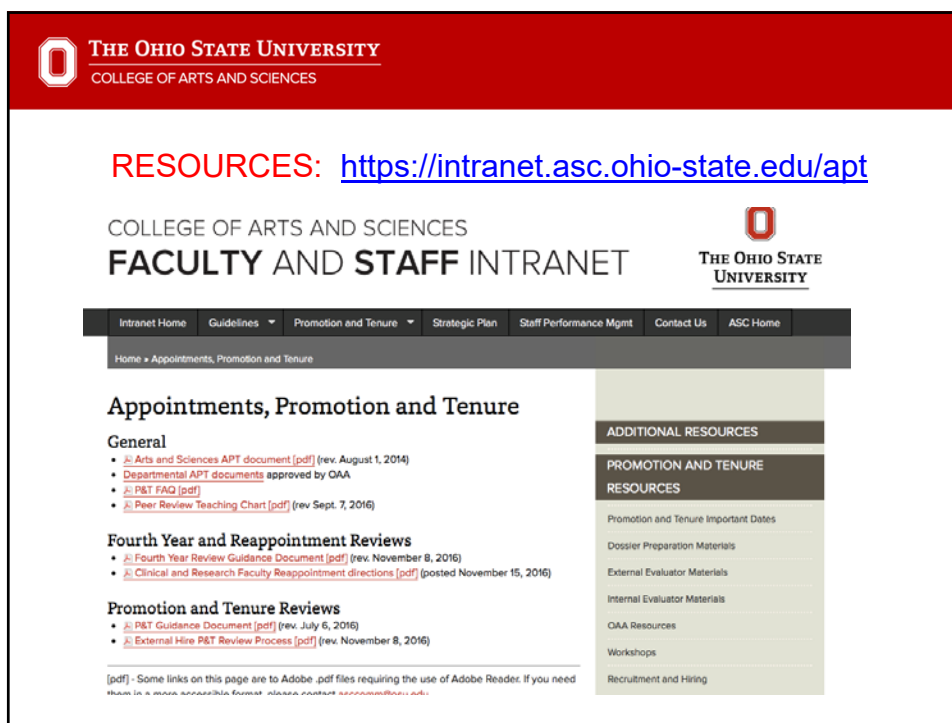
Look for key language/discuss expectations regarding:

- involvement in college or university level committees/initiatives; some APT documents require service at the college and/or university level.
- leadership in service activities
- professional outreach and engagement
- professional service (manuscript reviewing; associations; service on funding agency panels or study sections; consulting)
- administrative service

EACH FACULTY MEMBER HAS OWN SET OF DUTIES

- evaluate accomplishments **in context of assigned duties**
- variations in expectations
 - regional campus faculty (lower research quantity)
 - flexible path (extraordinary contributions in teaching or service)
- always require **excellence** in all three areas





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RESOURCES: <https://intranet.asc.ohio-state.edu/apt>

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Intranet Home Guidelines Promotion and Tenure Strategic Plan Staff Performance Mgmt Contact Us ASC Home

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Appointments, Promotion and Tenure

General

- [Arts and Sciences APT document \[pdf\]](#) (rev. August 1, 2014)
- [Departmental APT documents approved by OAA](#)
- [P&T FAQ \[pdf\]](#)
- [Peer Review Teaching Chart \[pdf\]](#) (rev. Sept. 7, 2016)

Fourth Year and Reappointment Reviews

- [Fourth Year Review Guidance Document \[pdf\]](#) (rev. November 8, 2016)
- [Clinical and Research Faculty Reappointment directions \[pdf\]](#) (posted November 15, 2016)

Promotion and Tenure Reviews

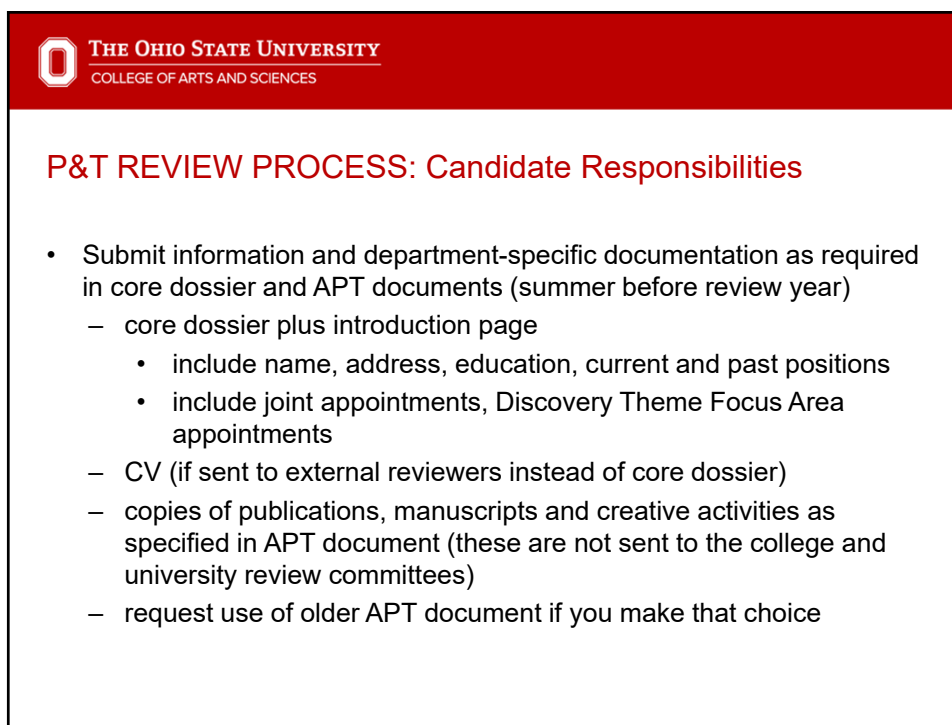
- [P&T Guidance Document \[pdf\]](#) (rev. July 6, 2016)
- [External Hire P&T Review Process \[pdf\]](#) (rev. November 8, 2016)

[pdf] - Some links on this page are to Adobe .pdf files requiring the use of Adobe Reader. If you need them in a more accessible format please contact asc@osu.edu.

ADDITIONAL RESOURCES

PROMOTION AND TENURE RESOURCES

- Promotion and Tenure Important Dates
- Dossier Preparation Materials
- External Evaluator Materials
- Internal Evaluator Materials
- OAA Resources
- Workshops
- Recruitment and Hiring



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P&T REVIEW PROCESS: Candidate Responsibilities

- Submit information and department-specific documentation as required in core dossier and APT documents (summer before review year)
 - core dossier plus introduction page
 - include name, address, education, current and past positions
 - include joint appointments, Discovery Theme Focus Area appointments
 - CV (if sent to external reviewers instead of core dossier)
 - copies of publications, manuscripts and creative activities as specified in APT document (these are not sent to the college and university review committees)
 - request use of older APT document if you make that choice



P&T REVIEW PROCESS: Core dossier

- Use either Vita or a Word document following OAA core dossier outline for 2017-2018 and 2018-2019 (can generate Word document from Vita, edit in Word)
- Include contextual information as needed (e.g., information about an on-line journal; additional measures of impact; contribution to collaborative projects)
- List each item only once
- **Tell your story** in research, teaching and service statements
- Use statements to talk about previous accomplishments if relevant
- Follow word count limits (within reason)



Core Dossier: Time Frame (unless otherwise specified in APT document)

- **Teaching:** list all activities since the last promotion OR the last five years, whichever is less
- **Research:** list all activities since last promotion (if promoted at Ohio State) or since appointment (if hired as an associate); earlier publications/conferences/grants are often listed to show entire trajectory, but main focus of review will be on activities since promotion
- **Service:** list all activities since last promotion/appointment, with an emphasis on leadership roles; includes outreach and engagement activities service on grant review panels, and other external service



Telling Your Story: Teaching Statements

- give examples of your approach/philosophy in action
- give examples of course revisions/new course development
- address responses to SEIs/peer reviews directly; show pattern of sustained engagement
- describe any professional development undertaken with UCAT/Institute for Teaching and Learning – **NEW dossier section!**
- include approach to advising/mentoring if appropriate
- don't cite student comments unless summaries included in dossier – don't quote (cherry-picking); summaries (by someone else) can be included in appropriate dossier section
- indicate how you will continue to grow as a teacher
- can refer to prior teaching experience if important to your trajectory (but evaluation will focus on teaching at OSU in the last five years)



Telling Your Story: Research Statements

- Keep college/university audience in mind; don't be overly technical
- Identify main and sub areas of expertise/interest
- **Highlight key indicators of national/international impact** that you think are particularly important (prominence of journal or press; selectivity of external grant funding; invitations to keynotes/review panels/journal boards; citations; course adoptions; downloads)
- Clarify how any work in progress/pipeline relates to a new project: show plans for **sustained activity** in research
- Provide additional information about collaborative work if relevant; establish your intellectual role

Telling Your Story: Service Statements

- Describe work in the community or the profession as well as specific contributions in assigned or voluntary department/college/university committee service
- Student Life committees: includes work with STEP, advising student groups, any work done through the Office of Student Life
- Describe any affiliations with informal or formal interdisciplinary centers or groups (e.g., STEAM Factory)
- Describe any work to enhance community or inclusion in your unit or for other groups

P&T REVIEW PROCESS: Candidate responsibilities

External reviewers

- Provide names of possible external reviewers to P&T chair or chair as requested - full professors, generally at peer institutions
- Review list of possible reviewers to identify any conflicts of interest (no personal or working relationship); can be minor collaboration if not a large part of profile for either candidate or evaluator
- If you have collaborated with another faculty member either at Ohio State or at another institution or with a community partner, suggest that your department chair request collaborator letters to provide information about your role (will not count as external reviewers)



TIU LEVEL REVIEW

- Eligible faculty (full professors) review materials
- Materials include letters from regional campus dean/review committee, if appointed to a regional campus, and from chair of secondary department or faculty director of Discovery Theme focus area as appropriate
- Eligible faculty meet and vote on the case
- Eligible faculty who have a conflict of interest do not participate in discussion or vote
- Quorum and percentage vote needed for positive recommendation are spelled out in the APT document
- P&T chair writes a letter summarizing the review and reporting the vote
- Chair/director makes independent assessment
- Candidate has right to review and comment on the letters within 10 days



COLLEGE LEVEL REVIEW

- College P&T committee reviews dossier and reports from TIU and chair
- Three different committees, arranged by division and convened by divisional dean
 - Arts and Humanities
 - Social and Behavioral Sciences
 - Natural and Mathematical Sciences
- College committee votes and makes recommendation to executive dean through letter written by divisional dean
- Executive dean makes recommendation to provost
- Candidate has right to review and comment on the letters

UNIVERSITY LEVEL REVIEW

- Provost and/or vice provost review all dossiers
- Dossiers with negative or inconsistent recommendations are forwarded to the university promotion and tenure committee, which makes recommendation to the provost
- Provost makes final decision in all cases
- Cases forwarded to the Board of Trustees for final approval
- Negative decisions can be appealed through Senate Committee on Academic Freedom and Responsibility

Challenges and Barriers to promotion to Professor

- Lack of information about process (how do I do this?)
- Lack of information about expectations (am I ready?)
- Lack of transparency in TIU (don't know who to ask)
- Lack of motivation (don't want to make the effort)
- Don't want the responsibility (full professors do more service)
- Fear of process (don't want to be judged)
- No support (don't know others who are doing this)
- I've heard Vita is awful (don't want to deal with it)

How can we help?

- Targeted workshops/panels on specific topics
 - dossier preparation support
 - alternate paths to promotion
 - engaged scholarship
 - regional campus issues
- Group discussions
 - meet others who are considering promotion to full professor
 - peer mentoring
- What else? Contact Tina Henkin (henkin.3@osu.edu)

