

# THE PROMOTION AND TENURE PROCESS

Workshop for Assistant Professors — January 14, 2019

TINA HENKIN  
ASSOCIATE DEAN  
COLLEGE OF ARTS AND SCIENCES



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## FACULTY AFFAIRS DEAN IN ASC



Tina Henkin  
Associate Dean, Faculty Affairs  
[henkin\\_3@osu.edu](mailto:henkin_3@osu.edu)  
(614) 292-1431

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## MAIN TOPICS

- Principles/Philosophy
- Requirements/Criteria
- Process: Telling your story

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**O THE OHIO STATE UNIVERSITY**  
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**TENURE-TRACK FACULTY**  
will be involved in:

- **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; commercialization; 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")

From the Rules of the University Faculty 3335-6 <https://trustees.osu.edu/university-faculty-rules/3335-6>

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**GETTING PROMOTED TO ASSOCIATE PROFESSOR**

"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."

Rules of the University Faculty, 3335-6-02

Note: Ohio State does not tenure faculty at the rank of assistant professor

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### TENURE "CLOCK"



- Know where you are in the process – ask questions!
- Annual review process is a tool to take stock and get feedback
- Need cumulative information, not just previous calendar year

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### PROBATIONARY PERIOD

- Period in which faculty member demonstrates excellence in teaching, research, and service in evaluation process relying principally on peer review
- Annual reappointment during this period; annual reviews are key
- Six years is standard length of probationary period; "mandatory review" in sixth year unless there has been an extension of the probationary period. Only candidate can stop the review once it has begun (through withdrawal/resignation)
- Fourth year review includes review by college review committees and dean – more in depth review focusing on progress toward promotion
- Non-mandatory tenure and promotion review requires screening process within the department; candidate can withdraw at any point in the review

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### THREE WAYS TO LENGTHEN THE PROBATIONARY PERIOD

- Birth/adoption of child (guaranteed but must notify your chair/dean)
  - Adverse personal or professional events beyond one's control — need support of department chair/dean
  - Part-time appointment or unpaid leave of absence
- Maximum of 3 years' extension in one year increments for assistant professors

### IMPACT OF EXTENSION OF PROBATIONARY PERIOD

"Expectations of productivity during the probationary period cannot be increased as a consequence of exclusions of time granted under the term of this rule."

*Rules of the University Faculty, 3335-6-03(D)(6)*

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### ADDITIONAL PRINCIPLES/PHILOSOPHY ABOUT PROMOTION AND TENURE IN FACULTY RULES

- **TIU:** Every tenure-track faculty member has one Tenure Initiating Unit, even if joint appointment (2<sup>nd</sup> department provides input, but only TIU has a formal vote in the process
- **APT:** Specific criteria developed by the college's 38 TIUs in their Appointments, Promotion and Tenure (APT) documents
- APTs also:
  - specify responsibilities of candidates
  - provide lists of documentation to support specific criteria

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### ADDITIONAL PRINCIPLES/PHILOSOPHY

- Document and evaluate accomplishments **in context of assigned duties**
- Recognize areas of emerging focus as well as established norms in teaching, research and service
- 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)

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### 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.** 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*

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### 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 how the candidate meets the criteria established by the units.

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### PEER REVIEW: Who does what?

#### RESPONSIBILITIES OF SENIOR COLLEAGUES

- Provide formal and informal peer mentoring
- Provide peer evaluations of teaching as requested
  - **TIU, NOT CANDIDATE, should organize these** (college, OAA policy!)
- Provide feedback on research for annual reviews as requested
- Provide names of colleagues in the discipline who can serve as external reviewers
- Review dossiers and related materials in order to participate fully and knowledgeably in internal review processes

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### PEER REVIEW: Who does what?

#### RESPONSIBILITIES OF CANDIDATES

##### Ongoing...

- Submit proposals to peer-reviewed conferences and manuscripts to journals (as appropriate to your discipline)
- Serve as a peer reviewer in the profession (build visibility)
- With the help of senior colleagues and mentors, make connections with faculty at other institutions at conferences, study sections, and other networking events (build visibility)
- Ensure that department chair and/or relevant committee chair arrange peer teaching evaluations (5 by time of mandatory review)
- **Retain relevant documentation** (annual reviews, peer teaching reviews, SEIs, student comments)
- Provide comments to written reviews as warranted

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**PEER REVIEW: Who does what?**

**RESPONSIBILITIES OF CANDIDATES**

**For promotion and tenure reviews....**

- Retain and view unit APT document given at time of hire to understand specific criteria in the unit
- current APT documents included on the OAA website (<http://www.oaa.osu.edu/governance.html>); can also use one in place at time of hire – **candidate must request!**
- Formulate questions and **seek mentoring** to understand how these criteria are applied in your unit
- Candidate will generate core dossier – be sure you understand structure, requirements
- **Seek advice** from mentors, other faculty on core dossier preparation **EARLY**; ask for examples of narrative statements
- **Read OAA guidelines EARLY** so you know what is expected

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**Research: defining excellence. What questions would you ask?**

**Example A: From Psychology APT document:**

*Excellence in research means attainment of measurable national and international **recognition** based on an **appropriate amount and rate of high-quality scholarly research**. This excellence typically will be demonstrated through **publications in psychology and related fields in professional journals and books, presentations of scholarly papers at professional meetings, research grants, and recognition among other scholars in the field** (as evidenced in citations, awards received, and external evaluations) and the department. Research excellence should be such that successful candidates for tenure are **plausible nominees for early career awards** given by relevant professional organizations such as the American Psychological Association, Association for Psychological Science, or more specialized societies in disciplinary areas.*

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Research: defining excellence. What questions would you ask?  
Example B: from Mathematics APT document:

*Excellence in research involves **making significant advances** in our knowledge in some branch of mathematics and **disseminating that knowledge through publications and talks at conferences and seminars**. It may also involve maintaining and enhancing the flow of information between mathematicians and those in the scientific community who are consumers of new mathematical discoveries or who stimulate new avenues of mathematical research.*

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Research: quality and quantity of publications/creative activity  
Example A: Dance

*The artist demonstrates capability as indicated by a pattern of **sustained**:*

- i. Commissions/invitations to create or set work in respected venues*
- ii. Performance/screening of creative work in respected venues*
- iii. Invitations to participate on panels and symposia; invitations to speak or work in area of creative expertise*
- iv. Creative project funding*
- v. Prizes and awards*
- vi. Creative contributions to local and/or regional and/or national community*
- vii. Published reviews, citations of creative work, adjudicated peer review*

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Research: quality and quantity of publications/creative activity  
Example B: History

*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**.*

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Research: quality and quantity of publications/creative activity  
**Regional campus faculty**  
Department of Evolution, Ecology and Organismal Biology:

*The Department recognizes that the **greater teaching and service commitment of regional campus faculty requires a different set of expectations.** Probationary faculty on regional campuses should show evidence of a publication record that **averages** at least 1 publication per year over the course of the probationary period in journals that are appropriate to the field as determined by the CEF. 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 more limited access to research resources.*

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Research: collaboration  
Example: Chemistry and Biochemistry

*To be considered for promotion and tenure, faculty must demonstrate excellence in either independent or collaborative research. This is documented by independent publications and/or significant independent contributions to collaborative publications in peer-reviewed journals, being the principal investigator on externally funded grant applications, and by invited lectures and presentations. The importance of collaborative research is increasing because of the rising costs of scientific research, pressures from federal funding agencies, increasing specialization and complexity of research instrumentation and techniques, and a trend towards interdisciplinary research. The Department...is reluctant to recommend for promotion and tenure a faculty member engaged solely in collaborative research unless there is a clear demonstration that the faculty member has made a **significant independent contribution to that research.***

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Teaching:  
Example: Department of Microbiology

*For promotion to Associate Professor with tenure, a faculty member is expected to have:*

- Provided up-to-date content at an appropriate level in every instructional situation and demonstrated continuing growth in subject matter knowledge.*
- Demonstrated the ability to organize and present class material effectively with logic, conviction, and enthusiasm.*
- Demonstrated creativity in the use of various modes of instruction, classroom technology, and other teaching strategies to create an optimal learning environment.*
- Engaged students actively in the learning process and encouraged independent thought, creativity, and appreciation of the knowledge creation process.*

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Teaching:

Example Department of Microbiology (continued)

- *Provided appropriate and timely feedback to students throughout the instructional process.*
- *Treated students with respect and courtesy.*
- *Improved curriculum through revision or new development of courses and/or academic programs.*
- *Served as advisor to an appropriate number of graduate students given the Department's graduate student/faculty ratio and the faculty member's area(s) of expertise.*
- *Engaged in documentable efforts to improve teaching.*

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Service:

Example: School of Communication

*Excellence in service means making available a high level of professional expertise and experience to the School, the university, the state of Ohio, and the profession. **The amount of the service contribution during the probationary period of assistant professors is limited by design, but the quality of the service contribution must be evident.** Evidence of service excellence is provided through peer evaluation, where peers have first-hand knowledge of service contributions, and through **external letters** or other external methods.*

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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
    - includes 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

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**Candidate Responsibilities: Core Dossier**

- Use either Vita or a Word document following OAA core dossier outline for 2018-2019 and 2019-2020
- Best practice: START WITH VITA <https://vita.osu.edu/#> to collect information, then download in Word and edit
  - edits are not saved in Vita so do this step at the end
- Use Vita Workflow Advice, attend Vita workshops to get started (next ones are 1/24, 1/30, 2/1) – ODEE plus me
- Can get help with research impact metrics from:  
Nancy Courtney, Research Impact Librarian  
[Courtney.24@osu.edu](mailto:Courtney.24@osu.edu) <http://qo.osu.edu/researchimpact>

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**Candidate Responsibilities: Core Dossier**

- List teaching/service activities since being appointed to the faculty at Ohio State
- List research activities prior to appointment but focus of review will be on work done at OSU
- Include contextual information as needed (e.g., information about an on-line journal; additional measures of impact; intellectual contribution to joint projects)
- List each item only once (choose best category)
- **Follow word count limits** (within reason)

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### 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 trajectory of improvement
- describe any professional development undertaken with UCAT/Institute for Teaching and Learning – **NEW SECTION in core dossier!**
- include approach to advising/mentoring if appropriate
- don't cite student comments unless summaries included in dossier – **don't quote** (cherry-picking)
- suggest how you will continue to grow as a teacher
- refer to teaching experience before coming to OSU if important to your trajectory (but evaluation will focus on teaching at OSU)

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### Telling Your Story: Research Statements

- Keep college/university audience in mind; don't be overly technical and keep word counts in mind
- 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

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### Telling Your Story: Service Statements

- Typically brief at this stage because service expectations are lower for assistant professors – quality over quantity
- Describe work in the community (that is related to your discipline) 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, 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 outside unit

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**Candidate responsibilities: external letters**

- If you have collaborated with another faculty member at Ohio State or at another institution, request that your department chair solicit letters from those collaborators (separate from external reviewers)
- Provide names of possible external reviewers to P&T chair or chair as requested - generally full professors at peer institutions (should have no personal or working relationship)
- Review list of possible reviewers to identify any conflicts of interest
  - PhD advisor
  - Collaborator (co-PI; co-author; co-editor)
  - Personal friend

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**TIU LEVEL REVIEW**

- Eligible faculty (tenured associate and full professors) review materials
- Complete dossier, including letters from regional campus dean/review committee (if appointed to a regional campus), from chair of secondary department if jointly appointed, from DT focus area leader as needed, and previous annual review letters (including 4<sup>th</sup> year review letters from TIU and college)
- 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, writes letter
- Candidate can review and comment on the letters within 10 days

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**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 final decision for fourth year review
- Executive dean makes recommendation to provost for promotion and tenure review
- Candidate has right to review and comment on the college letters

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### 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
- If major new info, TIU can request 7<sup>th</sup> year review

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