Appointments, Promotion, and Tenure
Criteria and Procedures for the Department of Biomedical Engineering

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I Preamble

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

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

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

The faculty and the administration are bound by the principles articulated in Faculty Rule 3335-6-01, http://trustees.osu.edu/rules/university-rules.html of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule 3335-6-02, http://trustees.osu.edu/rules/university-rules.html and other standards specific to this department and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

II Department Mission and Vision

Mission:
Our mission is to promote learning and discovery that integrate engineering and life sciences for the advancement of human health.

Vision:
The department of Biomedical Engineering at The Ohio State University will be nationally ranked and internationally recognized for:
- The distinctive educational opportunities for its students and the outstanding achievements of its alumni,
- Faculty and staff excellence and opportunities for continuing professional development,
- Collaborative research with global impact on improving human health, and
- Service to the field of biomedical engineering and the community.

III Definitions

A Committee of the Eligible Faculty

1 Regular Tenure Track Faculty
The current situation in the Department of Biomedical Engineering is that only the Department Chair is a tenured full Professor with BME as the tenure initiating unit (TIU). In order to have at least three full
professors to consider appointment, reappointment, promotion and tenure up to three tenured full professors who are classified as “departmental faculty” in BME (the definition, below is from the Pattern of Administration document) will be considered as eligible faculty for purposes of Appointment, Tenure, and Promotion evaluations.

“Departmental Faculty:”

Faculty members in Biomedical Engineering include Assistant Professors, Associate Professors, and Professors, in regular tenure, regular clinical, and research tracks, and adjunct positions. All regular tenure-track faculty members with BME as their TIU shall comprise the “departmental faculty.” Faculty members must have at least a partial, salaried appointment of 50% or more (with or without tenure) in the Department of Biomedical Engineering to be considered as regular departmental faculty. In addition, during the conversion of the Center to the Department in 2005, four senior faculty members (William A. Brantley, Douglas A. Kniss, Alan S. Litsky, and Cynthia J. Roberts) were grandfathered in as departmental faculty although they maintain their TIU unit in another department and/or have a salary appointment of less than 50%.

The eligible faculty for appointment reviews of regular tenure track faculty consists of all tenured “departmental faculty” as defined above.

The eligible faculty for determination of senior rank, reappointment, promotion and tenure, and promotion reviews of regular tenure track faculty consists of all tenured “departmental faculty” of higher rank than the candidate whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

For tenure reviews of probationary professors, eligible faculty are tenured “departmental faculty” professors whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

2 Regular Clinical Track Faculty

The eligible faculty for appointment reviews of regular clinical track faculty consists of all tenured “departmental faculty” and all regular clinical track faculty whose primary appointment and duties are in the department.

The eligible faculty for determination of senior rank, reappointment, contract renewal, and promotion of regular clinical track faculty consists of all tenured “departmental faculty” of higher rank than the candidate and all nonprobationary regular clinical track faculty of higher rank than the candidate whose primary appointment and duties are in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

3 Regular Research Track Faculty

The eligible faculty for appointment reviews of regular research track faculty consists of all tenured “departmental faculty,” all regular clinical track faculty whose primary appointment and duties are in the department, and all regular research track faculty whose primary appointment and duties are in the department.

The eligible faculty for determination of senior rank, reappointment, contract renewal, and promotion reviews of regular research track faculty consists of all tenured “departmental faculty” of higher rank than the candidate whose tenure resides in the department, and all nonprobationary research track faculty whose primary appointment and duties are in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.
4 Conflict of Interest
A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional relationship with the candidate (dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work since the last promotion will be expected to withdraw from a promotion review of that candidate.

5 Minimum Composition
The minimum composition of the committee is three full professors. Currently, the Department of Biomedical Engineering does not have three full professors, so in keeping with past policy, the full professors who were grandfathered into the “departmental faculty” will be appointed to undertake the reviews, as needed to reach the minimum composition of the committee. If one or more of the grandfathered full professors are not available, the Department Chair will seek permission from the Dean and OAA to appoint one or more full professors from other TIUs to serve on the BME committee -- if needed -- to ensure the minimum composition of three full professors for a review.

B Promotion and Tenure Committee
The Department of Biomedical Engineering Promotion and Tenure Committee includes all tenured members of the departmental faculty.

C Quorum
The quorum required to discuss and vote on all personnel decisions is two thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the department chair has approved an off-campus assignment.

Faculty members who recuse themselves because of a conflict of interest are not counted when determining quorum.

D Recommendation from the Committee of the Eligible Faculty
In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are not votes. Faculty members are strongly encouraged to consider whether they are participating fully in the review process when abstaining from a vote on a personnel matter.

Absentee ballots and proxy votes are not permitted.

1 Appointment
A positive recommendation from the eligible faculty for appointment is secured when two-thirds of the votes cast are positive.

2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal
A positive recommendation from the eligible faculty for determination of senior rank, reappointment, promotion and tenure, promotion, and contract renewal is secured when a simple majority of the votes cast are positive.
IV Appointments

A Criteria

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

1 Regular Tenure Track Faculty

Instructor. Appointment at the rank of instructor is made only when the offered appointment is that of assistant professor, but requirements for the terminal degree have not been completed by the candidate at the time of appointment. The department will make every effort to avoid such appointments. An appointment at the instructor level is limited to three years. When an instructor has not completed requirements for promotion to the rank of assistant professor by the beginning of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. This request must be approved by the department’s eligible faculty, the department chair, the dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked without a formal request for an extension of the probationary period. In addition all probationary faculty members have the option to be considered for early promotion.

Assistant Professor. An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the department and the profession is highly desirable. Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

Associate Professor and Professor. Appointment at senior rank requires that the individual, at a minimum, meet the department's criteria in teaching, research, and service for promotion to these ranks. Appointment at senior rank normally entails tenure. A probationary appointment at senior rank is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

Foreign nationals who lack permanent residency status may be appointed to a senior rank and approved for tenure, if appropriate, but the university will not grant tenure in the absence of permanent residency.

2 Regular Clinical Track Faculty: Professors of Practice

Appointment of regular clinical track faculty entails a three-, four- or five-year contract. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to regular clinical track faculty. There is also no presumption that subsequent contracts will be offered, regardless of
performance. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule 3335-7, http://trustees.osu.edu/rules/university-rules.html.

In Biomedical Engineering, Clinical faculty members are referred to as “Professors of Practice.”

**Assistant Professor of Practice in Biomedical Engineering.** An earned doctorate and the required licensure/certification in his or her specialty are the minimum requirements for appointment at the rank of assistant professor of practice in Biomedical Engineering. Evidence of ability to teach is highly desirable.

**Associate Professor of Practice in Biomedical Engineering and Professor of Practice in Biomedical Engineering.** Appointment at the rank of associate professor of practice in biomedical engineering or professor of practice in biomedical engineering requires that the individual have the required licensure/certification in his/her specialty, and meet, at a minimum, the department's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks.

### 3 Regular Research Track Faculty
Appointment of regular research track faculty entails one- to five-year contracts. The initial contract is probationary, with reappointment considered annually. Tenure is not granted to regular research track faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. For more information see Faculty Rule 3335-7, http://trustees.osu.edu/rules/university-rules.html.

**Research Assistant Professor.** Appointment at the rank of research assistant professor requires that the individual have a doctorate and a record of high-quality publications that strongly indicate the ability to sustain an independent, externally funded research program.

**Research Associate Professor and Research Professor.** Appointment at the rank of research associate professor or research professor requires that the individual have a doctorate and meet, at a minimum, the department's criteria for promotion to these ranks.

### 4 Auxiliary Faculty
Auxiliary appointments are made for no more than one year at a time.

**Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor.** Adjunct appointments are never compensated. Adjunct faculty appointments are given to individuals who volunteer considerable uncompensated academic service to the department, such as teaching a course, for which a faculty title is appropriate. Adjunct faculty rank is determined by applying the criteria for appointment of regular tenure track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular tenure track faculty.

**Lecturer.** Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure or promotion.

**Senior Lecturer.** Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion.
Assistant Professor, Associate Professor, Professor with FTE below 50%. Appointment at regular titles is for individuals at 49% FTE or below, either compensated or uncompensated. The rank of auxiliary faculty with regular titles is determined by applying the criteria for appointment of regular tenure track faculty. Auxiliary faculty members with regular titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of regular tenure track faculty.

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty appointments may either be compensated or not compensated. Visiting faculty members on leave from a regular academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non regular faculty) individuals are appointed is determined by applying the criteria for appointment of regular tenure track faculty. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years at 100% FTE.

5 Courtesy Appointments for Regular Faculty
Occasionally the active academic involvement in this department by a regular faculty member from another department at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this department. Appropriate active involvement includes research collaboration, graduate student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

B Procedures
See Volume 1 in the Office of Academic Affairs Policies and Procedures Handbook, http://oaa.osu.edu/handbook.html on the following topics:

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

1 Regular Tenure Track Faculty
A national search is required to ensure a diverse pool of highly qualified candidates for all tenure track positions. Exceptions to this policy must be approved by the college and the Office of Academic Affairs in advance. Search procedures must be consistent with the university policies set forth in the most recent update of A Guide to Effective Searches. www.hr.osu.edu/hrpubs/guidesearches.pdf

Searches for tenure track faculty proceed as follows:

The dean of the college provides approval for the department to commence a search process. This approval may or may not be accompanied by constraints with regard to salary, rank, and field of expertise.

The department chair appoints a search committee consisting of three or more faculty who reflect the field of expertise that is the focus of the search (if relevant) as well as other fields within the department.

The search committee:
• Appoints a Diversity Advocate who is responsible for providing leadership in assuring that vigorous efforts are made to achieve a diverse pool of qualified applicants.

• Develops a search announcement for internal posting in the university Personnel Postings (formerly known as the "green sheet") through the Office of Human Resources Employment Services (www.hr.osu.edu/) and external advertising, subject to the department chair's approval. The announcement will be no more specific than is necessary to accomplish the goals of the search, since an offer cannot be made that is contrary to the content of the announcement with respect to rank, field, credentials, salary. In addition, timing for the receipt of applications will be stated as a preferred date, not a precise closing date, in order to allow consideration of any applications that arrive before the conclusion of the search.

• Develops and implements a plan for external advertising and direct solicitation of nominations and applications. If there is any likelihood that the applicant pool will include qualified foreign nationals, the search committee must assure that at least one print (as opposed to on-line) advertisement appears in a location likely to be read by qualified potential applicants. The university does not grant tenure in the absence of permanent residency ("green card"), and strict U. S. Department of Labor guidelines do not permit sponsorship of foreign nationals for permanent residency unless the search process resulting in their appointment to a tenure track position included an advertisement in a field-specific nationally circulated print journal.

• Screens applications and presents application materials to the entire faculty (via Carmen). Every eligible faculty member is invited to review application materials and provide feedback on Carmen to a series of questions, including suitability of the applicant to lead areas of current and projected research and teaching needs and aspirations. Following discussion during a faculty meeting, the faculty vote to invite 3-5 candidates per open position. If the faculty cannot agree, the department chair in consultation with the faculty determines the appropriate next steps (solicit new applications, review other applications already received, cancel the search for the time being).

On-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the department chair; and the dean or designee. In addition, all candidates make a presentation to the faculty and graduate students on their research. All candidates interviewing for a particular position must follow the same interview format.

Following completion of on-campus interviews, the eligible faculty meet with the Department Chair to discuss perceptions and preferences, and to vote on each candidate.

If the offer involves senior rank, the eligible faculty members vote also on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit.

In the event that more than one candidate achieves the level of support required to extend an offer, the department chair decides which candidate to approach first. The details of the offer, including compensation, are determined by the department chair.

Potential appointment of a foreign national who lacks permanent residency must be discussed with the Office of International Affairs. The university does not grant tenure in the absence of permanent residency status. The department will therefore be cautious in making such appointments and vigilant in assuring that the appointee seeks residency status promptly and diligently.
2 Regular Clinical Track Faculty
Searches for regular clinical track faculty generally proceed identically as for tenure track faculty, with the exception that the candidate's presentation during the on-campus interview is on clinical/professional practice rather than research, and exceptions to a national search only requires approval by the college dean.

3 Regular Research Track Faculty
Searches for regular research track faculty generally proceed identically as for tenure track faculty, and exceptions to a national search only requires approval by the college dean.

4 Transfer of track
Regular tenure track faculty may transfer to a clinical or research track if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the department chair, the college dean, and the executive vice president and provost.

The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual’s career goals and activities have changed.

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

5 Auxiliary Faculty
The appointment, review, and reappointment of all compensated auxiliary faculty is decided by the department chair in consultation with the department’s Promotion and Tenure committee.

Appointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the department. The proposal is considered at a regular faculty meeting and if approved by the faculty, the department chair extends an offer.

Auxiliary appointments are generally made for a period of one year, unless a shorter period is appropriate to the circumstances. All auxiliary appointments expire at the end of the appointment term and must be formally renewed to be continued. Adjunct appointments may be renewed only when the uncompensated academic service for which the appointment was made continues. Visiting appointments are limited to three consecutive years at 100% FTE. Lecturer appointments are usually made on a term by term basis.

Auxiliary faculty for whom promotion is a possibility follow the promotion guidelines and procedures for regular faculty (see Appointment Criteria above), with the exception that the review does not proceed to the college level if the department chair's recommendation is negative, and does not proceed to the university level if the dean's recommendation is negative.

6 Courtesy Appointments for Regular Faculty
Any department faculty member may propose a 0% FTE (courtesy) appointment for a regular faculty member from another Ohio State department. A proposal that describes the uncompensated academic service to this department justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the department chair extends an offer of appointment. The department chair reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.
V Annual Review Procedures

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

The annual reviews of every faculty member are based on expected performance in teaching, research, and service as set forth in the department's policy on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.

The documentation required for the annual performance review of every faculty member is described under Merit Salary Increases below. This material must be submitted to the department chair no later than the middle of April.

The department chair is required (per Faculty Rule 3335-3-35,[http://trustees.osu.edu/rules/university-rules.html](http://trustees.osu.edu/rules/university-rules.html)) to include a reminder in the annual review letter that all faculty have the right (per Faculty Rule 3335-5-04,[http://trustees.osu.edu/rules/university-rules.html](http://trustees.osu.edu/rules/university-rules.html)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

A Probationary Tenure Track Faculty

Every probationary tenure track faculty member is reviewed annually by the chair, who meets with the faculty member to discuss his or her performance and, future plans and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

If the department chair recommends renewal of the appointment, this recommendation is final. The department chair's annual review letter to the faculty member renews the probationary appointment for another year and includes content on future plans and goals. The faculty member may provide written comments on the review. The department chair's letter (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

If the department chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule 3335-6-04,[http://trustees.osu.edu/rules/university-rules.html](http://trustees.osu.edu/rules/university-rules.html)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the dean makes the final decision on renewal or nonrenewal of the probationary appointment.

I Fourth-Year Review

During the fourth year of the probationary period the annual review follows the same procedures as the mandatory tenure review, with the exception that external evaluations are optional and the dean (not the department chair) makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are only solicited when either the department chair or the eligible faculty determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate’s research is in an emergent field, is interdisciplinary, or the eligible faculty do not feel otherwise capable of evaluating the research without outside input.

The eligible faculty conducts a review of the candidate. On completion of the review, the eligible faculty votes by written ballot on whether to renew the probationary appointment.

The eligible faculty forwards a record of the vote and a written performance review to the department chair. The department chair conducts an independent assessment of performance and prepares a written
evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the department review, the formal comments process (per Faculty Rule 3335-6-04, http://trustees.osu.edu/rules/university-rules.html) is followed and the case is forwarded to the college for review, regardless of whether the department chair recommends renewal or nonrenewal.

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

B Tenured Faculty
Associate professors are reviewed annually by the department chair who meets with the faculty member to discuss his or her performance and future plans and goals and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the department chair. The department chair meets with the faculty member to discuss his or her performance and future plans and goals, and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

C Regular Clinical Track Faculty
The annual review process for regular clinical track probationary and nonprobationary faculty is identical to that for tenure track probationary and tenured faculty respectively.

In the penultimate contract year of a regular clinical faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08, http://trustees.osu.edu/rules/university-rules.html must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review follows the review procedures for promotion of regular clinical track faculty. There is no presumption of renewal of contract.

D Regular Research Track Faculty
The annual review process for regular research track probationary and nonprobationary faculty is identical to that for tenure track probationary and tenured faculty.

In the penultimate contract year of a regular research faculty member's appointment, the department chair must determine whether the position held by the faculty member will continue. If it will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08, http://trustees.osu.edu/rules/university-rules.html must be observed.

If the position will continue, a formal performance review for reappointment is necessary in the penultimate contract year to determine whether the faculty member will be offered a new contract. This review follows the review procedures for promotion of regular research track faculty. There is no presumption of renewal of contract.
VI Merit Salary Increases and Other Rewards

A Criteria
Except when the university dictates any type of across the board salary increase, all funds for annual salary increases are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable.

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

Meritorious performance in teaching, research, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 36 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

B Procedures
The department chair recommends annual salary increases and other performance rewards to the dean, who may modify these recommendations. In formulating recommendations, the department chair consults with the department Executive Committee. Salary increases are formulated in dollar amounts rather than percentage increases, with the goal of distributing available funds in a manner that achieves the optimal distribution of salaries. As a general approach to formulating salary recommendations, the department chair divides faculty into at least four groups based on continuing productivity (high, average, low, and unsatisfactory) and considers market and internal equity issues as appropriate.

Faculty members who wish to discuss dissatisfaction with their salary increase with the department chair should be prepared to explain how their salary (rather than the increase) is inappropriately low, since increases are solely a means to the end of an optimal distribution of salaries.

C Documentation
The annual performance review of every faculty member requires that all documentation described below, including the two summary documents, be submitted to the department chair no later than the final day of autumn term classes.

- updated CV, which will be made available to all faculty in an accessible place
- updated Office of Academic Affairs dossier outline, Book 3 (http://oaa.osu.edu/handbook.html)

Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.
Under no circumstances should faculty solicit evaluations from any party for purposes of the annual review, as such solicitation places its recipient in an awkward position and produces a result that is unlikely to be candid.

The time period covered by the documentation described below is the previous 12 months.

1 Teaching
Cumulative SEI reports (Student Evaluation of Instruction computer generated summaries prepared by the Office of the University Registrar) for every class taught.

Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details are provided in the Appendix).

Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed. An accepted but unpublished work submitted for consideration in a given annual review may not be resubmitted after publication for consideration in a future annual review.

Other relevant documentation of teaching as appropriate.

2 Scholarship
Copies of all scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form with no further revisions needed.

Documentation of grants and contracts received.

Other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted, and/or generation of intellectual property, filing patents, and/or associated commercialization activities).

3 Service
Any available documentation of the quality of service that enhances the list of service activities in the dossier.

VII Promotion and Tenure and Promotion Reviews

A Criteria
Faculty Rule 3335-6-02, http://trustees.osu.edu/rules/university-rules.html provides the following context for promotion and tenure and promotion reviews:

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.

1 Promotion to Associate Professor with Tenure
Faculty Rule 3335-6-02, http://trustees.osu.edu/rules/university-rules.html provides the following general criteria for promotion to associate professor with tenure:

The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high-quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.

Tenure is not awarded below the rank of associate professor at The Ohio State University.

The award of tenure is a commitment of lifetime employment. It is therefore essential to evaluate and judge the probability that faculty, once tenured, will continue to develop professionally and contribute to the department's academic mission at a high level for the duration of their time at the university.

Every candidate is held to a high standard of excellence in all aspects of performance. Accepting weakness in any aspect of performance in making a tenure decision is tantamount to deliberately handicapping the department's ability to perform and to progress academically. Above all, candidates are held to a very high standard of excellence in the areas central to their responsibilities. If a candidate's primary teaching role is and will continue to be undergraduate teaching, then excellence in undergraduate teaching is required. A mediocre performance in this area would not be adequately counterbalanced by excellent performance in another aspect of teaching that is a significantly smaller part of the individual's responsibilities.

Excellence in teaching, research, and service are moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics, http://www.aaup.org/AAUP/pubsres/policydocs/contents/statementonprofessionalethics.htm.

The accomplishments listed below in the areas of teaching, scholarship, and service are expected of faculty for promotion to associate professor with tenure. In the evaluation of untenured associate professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

Teaching
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 appropriate 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.
- Provided appropriate and timely feedback to students throughout the instructional process.
o Treated students with respect and courtesy.
o Improved curriculum through revision or new development of courses and/or academic programs.
o 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.
o Assisted graduate students in the production of high quality published work.
o Engaged in documentable efforts to improve teaching.

In general, each faculty member in Biomedical Engineering is expected to teach courses at both the undergraduate and graduate levels in accordance with their individual expertise and the needs of the departmental programs. Differences among the different technical areas of the Department, Departmental needs, scheduling matters, enrollment considerations, and other factors are expected to impact the degree of diversity represented in the candidate faculty member’s teaching history. Since some of these factors may lie beyond the candidate's control, the candidate's teaching record should exhibit variety subject to these constraints.

The assessment of the candidate’s accomplishments in the key areas listed above comes primarily from student responses to the SEI and from peer assessment visits. (The format for peer assessments in Biomedical Engineering is included in the Appendix.) An analysis of the SEI responses will be done in comparison to the statistics of other faculty in the College of Engineering. Conclusions about teaching effectiveness are based on this comparison as well as the peer assessments.

In addition to the assessment of teaching, the candidate is expected to show evidence of development as an effective mentor of graduate and undergraduate students in research. It is expected that there will be a transient period when the candidate establishes the necessary facilities to support his/her research, establishes his/her identity among graduate students, and attracts student researchers. It is expected that the candidate would have guided several M.S. students to the completion of their theses, and that he/she would have some Ph.D. students well along in their programs of study. It is also expected that the candidate would be serving, or have served in, a number of thesis/examination committees for graduate students advised by other faculty members, especially in the area of the candidate’s research interest.

Scholarship
For promotion to associate professor with tenure, a faculty member is expected to have:
o Published a body of work in high quality peer reviewed venues that is thematically focused, contributes substantively to knowledge in the area of focus, and is beginning to be favorably cited or otherwise show evidence of influence on the work of others. The following attributes of the body of work are considered:
  • Quality, impact, quantity.
  • Unique contribution to a line of inquiry or repackaging of earlier work.
  • Rigor of the peer review process and degree of dissemination of publication venues. Archival journal publications and monographs are weighted more heavily than conference proceedings, published research more than unpublished research, and original works more than edited works.
  • While collaborative work is encouraged, and indeed is essential to some types of inquiry, the candidate's intellectual contributions to collaborative work must be clearly and fairly described to permit accurate assessment.
  • Generation of intellectual property, filing patents, and/or associated commercialization activities.
o A demonstrated ability to obtain and potential to sustain research program funding. Competitive peer reviewed funding is weighted more favorably than other types, since it
serves as a quality indicator of research programs, and grants requiring the exercise of intellectual creativity are weighted more heavily than those that largely dictate the work to be done. Research funding is a means to an end; funding that has not led to research productivity is disregarded in the review.

- A developing national/international reputation in the candidate's field as evidenced by external evaluations, invitations to present at recognized prestigious forums, invitations to review research papers and grant proposals, and a beginning trend of positive citations in other researchers' publications. A reputation based on the quality of the research contribution is distinguished from one based mainly on familiarity through the faculty member's frequent attendance at national and international conferences.

- Demonstrated a high degree of ethics in the conduct of research, including but not limited to full and timely adherence to all regulations relevant to the research program, and ethical treatment of graduate students, postdoctoral fellows, and collaborators.

- Involved graduate students in research activities, including funding students and publishing with students

The successful candidate is expected to present the evidence of the following characteristics for a well-developed research program: the clear establishment of a research identity; the demonstrated ability to develop graduate students as apprentice researchers and to advise them effectively through the program; the ability to identify and secure funding at some reasonable level to support these research activities and graduate students; and consistency. There must be clear and compelling evidence that the candidate has actively undertaken the building of a research program and will continue to build and maintain that program for the foreseeable future.

The quality and quantity of scientific publications in refereed archival journals will be considered in the evaluation. The quality of the contribution will be regarded highly, while the quality of the journal will be considered as a factor. For a variety of reasons, it is difficult to define a specific number of expected archival publications that would be deemed satisfactory. It is both expected and appropriate that the candidate will include publications co-authored with the doctoral advisor. However, some of the archival publications should be authored by the candidate with his/her own research team members, including graduate students.

It is natural that a transient period will occur as the candidate builds interest in his/her work, acquires and develops graduate student researchers, builds a laboratory, and new collaborations. It is also clear that the significance and duration of such transients is a function of the number of colleagues and the degree of infrastructure in place to support and assist the candidate, according to the research area, upon arrival. Moreover, there is a marked variation in the delay of the peer review process from one journal (or one area) to another. However, once a reasonable period of adjustment is past, the research program of the candidate should begin to produce in a fairly steady manner.

For successful promotion to associate professor with tenure, the Department must be confident that an appropriate scholarly level of performance on the part of the candidate can reasonably be expected to continue. This confidence will derive from such factors as the nature and extent of work in progress, number and status of graduate students under the candidate's direction, funding in place and proposals submitted, and papers accepted and under review. The candidate's own plans for future research directions should also be clear and feasible.

**Service**

For promotion to associate professor with tenure, a faculty member is expected to have:

- Made useful contributions to the governance of the department in a collegial manner that facilitates positive contributions by others
Made useful contributions to the profession.

The well-rounded member of the faculty of a premier institution such as The Ohio State University is expected to assume a leadership role in his/her research community and its professional activities. While it is understood that junior members of the faculty must wait their turn for some of the responsibilities, the Department does expect to see the evidence of high quality contributions to Department administration and to other areas as defined by the Department; and the candidate's involvement on the national level. Thus, the evaluation of service will encompass administrative and committee service within the university, as well as professional society activities that utilize the candidate's expertise.

Included as part of the service to be expected in the department are efforts to maintain the dedication, cooperation, professionalism, ethical behavior, and the collegial attitude of the faculty.

2 Promotion to Professor

Faculty Rule 3335-6-02, [http://trustees.osu.edu/rules/university-rules.html](http://trustees.osu.edu/rules/university-rules.html) establishes the following general criteria for promotion to the rank of professor:

Promotion to the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service.

For promotion to Professor, a faculty member is expected to be a role model for senior faculty, for students, and for the profession. Assessment takes place in relation to specific assigned responsibilities, with exceptional performance in these responsibilities required. The specific criteria in teaching, research, and service for promotion to Professor are similar to those for promotion to Associate Professor with Tenure, with the added expectation of sustained accomplishment and increasing quality of contributions, a record of continuing professional growth, and evidence of established national and international reputation in the field.

In addition, as further specified by Faculty Rule 3335-6-02, assessment is in relation to specific assigned responsibilities with reasonable flexibility being exercised in order to balance, where the case requires, heavier responsibilities and commitment in one area against lighter ones in another.

In the evaluation of untenured professors for tenure, the same criteria apply, along with any others established in writing at the time a senior rank appointment without tenure was offered.

Teaching

The general aspects of teaching effectiveness, as well as measures for evaluation, are described previously. For promotion to Professor, the candidate should demonstrate excellence in teaching, as documented by student and peer evaluations. The candidate is expected to have a record commensurate with the duration of his/her employment, with particular emphasis on the period since the last promotion. The candidate is expected to have:

- A record of consistently effective classroom teaching of undergraduate and graduate courses, with particular emphasis on the preceding five years. Measures of quality, which may be used to demonstrate excellence, are the successful use of innovative techniques or third-party evaluations of classroom performance to improve teaching effectiveness, teaching awards for classroom instruction, and variety of courses taught.
- A record of effective mentoring of graduate and undergraduate students in research. The candidate shall have graduated at least some Ph.D. students, and usually, a greater number of M.S. students. Consistency in the area of mentoring students over the period...
of interest is important, a steady stream of students being indicative of a continuing and sustained effort. It is also expected that, at the time of consideration for promotion, the candidate will have a number of Ph.D. and M.S. students at various stages of their programs of study.

- A record of significant contributions in the area of curriculum development, in the form of development and/or modifications of courses and labs.
- A record of meaningful and consistent involvement in graduate exams, theses, and dissertations, in a capacity other than that of advisor.

Scholarship
While general expectations are elaborated upon previously, some aspects specific to promotion to Professor are discussed in this section. The candidate should demonstrate, over the duration of his/her research career, excellence in research/scholarship, as documented by external peer evaluations, the publication record, and funding history. The candidate is expected to have:

- A record of acknowledged excellence in the conduct of scholarly research. The excellence of the candidate’s research efforts and scholastic accomplishments must be recognized nationally and internationally by acknowledged scholars in his/her area. Such a record is usually accompanied by a coherent research program, which has produced important results relating to one or a few central research issues of acknowledged significance in the academic community. Furthermore, consistency of the research effort is important as well, it being highly desirable that the candidate maintain an active research program at the time of consideration for promotion and may include generation of significant intellectual property, filing patents and/or associated commercialization activities.

- A record of consistency and excellence in contributions to the technical literature, especially during the period after the last promotion. The candidate shall have produced a significant body of publications in refereed journals, particularly in high quality archival journals appropriate to the research area, refereed conference proceedings, book chapters and other forms. Other measures of the quality, which may be used, include invited talks and research seminars given by the candidate. It is difficult to place absolute numerical requirements on the publication record, given the wide variability in acceptance rates, prestige and visibility within journals and other publications. However, it is essential that the publication record be commensurate with a sustained record of research, and dissemination of research results, over the duration of the candidate’s research career. The publication record in archival journals is of primary importance for promotion to Professor.

- A record of excellence involving graduate students in research. This aspect of research/scholarship overlaps with the mentoring aspect of the candidate’s teaching performance, which has been described previously in the document. In addition to the comments relating to graduation of Ph.D. and M.S. students as part of such mentoring, it is expected that the candidate will have co-authored a number of publications with his/her graduate students, and that he/she will have facilitated research presentations by graduate students at technical conferences. Awards and honors secured by graduate students, such as best paper/presentation awards and university/national fellowships based on research progress and results, reflect positively upon the candidate’s involvement of graduate students in research, and will be so treated. Also, honors and fellowships awarded to Ph.D. students after graduation, as well as placement at prestigious institutions, will be similarly treated.

- A record of sustained funding at a reasonable level to support the research activities of the candidate. Each faculty member is expected to create and maintain an externally supported research program. The funding history of the candidate, including the seeking
of the funding, should be consistent with this requirement, especially for the period since
the last promotion.
  o In addition to demonstrating a record of excellence in the different areas of
research/scholarship, the candidate should provide evidence of ongoing research activity
in the form of papers in review for publication, continuing grants/contracts, submitted
proposals, and Ph.D./M.S. students at different stages in their programs of study.

Service
For promotion to Professor, the candidate faculty member is expected to have compiled a record of
effective service, as described below:
  o A record of effective service to professional societies, and organizations such as funding
agencies, often in leadership roles. Such service may take the form of editorships of
prestigious journals, conference proceedings, and symposium proceedings; organization
and/or Chairing of sessions at/of technical conferences or workshops; committee
Chairmanships in/of societies and federal agency committees; service as reviewer of
proposals for governmental funding agencies; and as reviewer of conference and journal
papers.
  o A record of effective service to the Department, college, and university, again involving
leadership roles. Service in Departmental committees in leadership roles is expected of
the candidate. Service to the Department may also take the form of faculty advising of
student groups and organizations by the candidate. It is expected and natural that
candidates for promotion at this level would have had significantly more opportunities for
service to the college and university, and would have availed themselves of such
opportunities.
  o Included as part of the service to be expected in the department are efforts to foster and
lead the dedication, cooperation, professionalism, ethical behavior, and the collegial
attitude of the faculty.

3 Regular Clinical Track Faculty
All regular clinical track faculty must:
  o be engaged in teaching, the development of the departmental and College academic
program, and the mentoring of students
  o contribute to the scholarly mission of the Department of Biomedical Engineering, the
College of Engineering, and University
  o contribute to service in the Department of Biomedical Engineering, and are strongly
encouraged to contribute to service to the College and the University, and at the national
level in Biomedical Engineering

The teaching activities of regular clinical track faculty must be consistent with the rationale for having
regular clinical track faculty in the College; these consist of courses that involve the practice of
engineering. The scholarly emphasis of clinical track faculty is expected to be different from that of
tenure track and research faculty; clinical track faculty would be more engaged in activities dealing with
the state of the practice of engineering, while tenure track and research track faculty would be more
engaged in activities that advance the state of the art and science of engineering. The venues appropriate
for dissemination of such scholarly contributions therefore may be very different from those expected of
tenure track faculty. Scholarly and professional service activities of clinical track faculty would be
expected to emphasize interaction with industry rather than with a research community.

Promotion to Associate Professor of Practice in Biomedical Engineering. For promotion to associate
professor of in biomedical engineering, a faculty member must show convincing evidence of excellence
as a teacher and a provider of effective service; must have a documented high level of competence in
professional practice; and must display the potential for continuing a program of high-quality teaching and service relevant to the mission of this department. Specific criteria in teaching and service for promotion to associate professor-clinical are similar to those for promotion to associate professor with tenure. The candidate should have a record of scholarly activity that contributes to the mission of the department. Research activity is not expected.

**Promotion to Professor of Practice in Biomedical Engineering.** For promotion to professor of in biomedical engineering, a faculty member must have a record of continuing professional growth and increasing quality of contributions, including a sustained record of excellence in teaching and professional practice; leadership in service to this department and to the profession; and production and dissemination of scholarly materials pertinent to pedagogy and/or professional practice.

### 4 Regular Research Track Faculty

**Promotion to Research Associate Professor.** For promotion to research associate professor, a faculty member must have a substantial record of high-quality focused research consistent with an appointment devoted solely to research. Publications must appear in high-quality peer-reviewed venues and be judged by external evaluators as having substantial positive impact on the field. A record of continuous peer reviewed funding is required along with evidence of a growing national reputation.

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

### B Procedures

The department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04, http://trustees.osu.edu/rules/university-rules.html and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the Policies and Procedures Handbook, http://oaa.osu.edu/handbook.html. The following sections, which state the responsibilities of each party to the review process, apply to all faculty tracks in the department.

**1 Candidate Responsibilities**

Candidates are responsible for submitting a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist.

If external evaluations are required candidates are responsible for reviewing the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see External Evaluations below.)

**2 Promotion and Tenure Committee Responsibilities**

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

- To review this document annually and to recommend proposed revisions to the faculty.
• To consider annually, in spring term, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
  o The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
  o A tenured faculty member who requests and is denied a promotion review must be granted the review in the second year per Faculty Rule 3335-6-04, http://trustees.osu.edu/rules/university-rules.html.
  o Consistent with Office of Academic Affairs policy, only faculty members who are citizens or permanent residents of the United States may be considered for non-mandatory tenure review. The committee must confirm with the department chair that an untenured faculty member seeking non-mandatory tenure review is a U.S. citizen or permanent resident (has a "green card"). Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for non-mandatory promotion by this department.
• A decision by the committee to permit a review to take place in no way commits the eligible faculty, the department chair, or any other party to the review to making a positive recommendation during the review itself.
• Annually, in late spring through early autumn term, to provide administrative support for the promotion and tenure review process as described below.
  o **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.
  o **Late Spring:** Suggest names of external evaluators to the department chair.
  o **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
  o Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.
  o Draft an analysis of the candidate's performance in teaching, research and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible.
  o Revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the department chair.
  o Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
  o Provide a written evaluation and recommendation to the department chair in the case of joint appointees whose tenure initiating unit is another department. The full eligible faculty does not vote on these cases since the department's recommendation must be
provided to the other tenure initiating unit substantially earlier than the Committee begins meeting on this department's cases.

3 Eligible Faculty Responsibilities
The responsibilities of the members of the eligible faculty are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

4 Department Chair Responsibilities
The responsibilities of the department chair are as follows:

- Where relevant, to verify the prospective candidate's residency status. Faculty members who are neither citizens nor permanent residents of the United States may not undergo a non-mandatory review for tenure, and tenure will not be awarded as the result of a mandatory review until permanent residency status is established. Faculty members not eligible for tenure due to lack of citizenship or permanent residency are moreover not considered for promotion by this department.
- Late Spring Term: To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- To make adequate copies of each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.
- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting.
- Mid-Autumn Term: To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.
- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- To inform each candidate in writing after completion of the department review process:
  - of the recommendations by the eligible faculty and department chair
  - of the availability for review of the written evaluations by the eligible faculty and department chair
  - Of the opportunity to submit written comments on the above material, within ten days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.

To provide a written response to any candidate comments that warrants response for inclusion in the dossier.

To forward the completed dossier to the college office by that office's deadline, except in the case of auxiliary faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair is final in such cases.
To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other tenure initiating units, and to forward this material, along with the department chair's independent written evaluation and recommendation, to the department chair of the other tenure initiating unit by the date requested.

5 External Evaluations

External evaluations of research and scholarly activity are obtained for all promotion reviews.

A minimum of five credible and useful evaluations must be obtained. A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's research (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This department will generally solicit evaluations from full professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors. In some cases, letters may also be solicited from accomplished leaders in industry, or research labs.
- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will “usefulness” be defined by the perspective taken by an evaluator on the merits of the case.

Since the department cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than required (e.g., if 5 are needed, 8 will be sought), and they are solicited no later than mid term (e.g. summer) prior to the review year. This timing allows additional letters to be requested should fewer than five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04, http://trustees.osu.edu/rules/university-rules.html requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

The department follows the Office of Academic Affairs suggested format, provided at http://oaa.osu.edu/sampledocuments.html, for letters requesting external evaluations.

Under no circumstances may a candidate solicit external evaluations or initiate contact in any way with external evaluators for any purpose related to the promotion review. If an external evaluator should initiate contact with the candidate regarding the review, the candidate must inform the evaluator that such communication is inappropriate and report the occurrence to the department chair, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the department's written evaluations or brought to the attention of the Office of Academic Affairs for advice.
C Documentation
As noted above under Candidate Responsibilities, every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. While the Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by the candidate.

The complete dossier, including the documentation of teaching noted in bold below, is forwarded when the review moves beyond the department. The documentation of research and service noted below is for use during the department review only, unless reviewers at the college and university levels specifically request it.

- Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.
- Under no circumstances should faculty solicit evaluations from any party for purposes of the review.

1 Teaching
For the time period since the last promotion or the last five years, whichever is less:

- cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every class
- peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details provided in the Appendix to this document)
- Copies of pedagogical papers, books or other materials published, or accepted for publication. Material accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the work has been unequivocally accepted and is in final form with no further revisions needed.
- teaching activities as listed in the core dossier including
  - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
  - mentoring postdoctoral scholars and researchers
  - extension and continuing education instruction
  - involvement in curriculum development
  - awards and formal recognition of teaching
  - presentations on pedagogy and teaching at national and international conferences
  - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate

2 Research
For the time period since the last promotion:

- Copies of all books, articles, and scholarly papers published or accepted for publication. Papers accepted for publication but not yet published must be accompanied by a letter from the publisher stating that the paper has been unequivocally accepted and is in final form, with no further revisions needed.
- documentation of grants and contracts received
- other relevant documentation of research as appropriate (published reviews including publications where one's work is favorably cited, grants and contract proposals that have been submitted)
- research activities as listed in the core dossier including
3 Service
For the time period since the last promotion:

- service activities as listed in the core dossier including
  - involvement with professional journals and professional societies
  - consultation activity with industry, education, or government
  - clinical services
  - administrative service to department
  - administrative service to college
  - administrative service to university and Student Life
  - advising to student groups and organizations
  - awards and prizes for service to profession, university, or department
- any available documentation (e.g. letters from committee chairs) of the quality of service that enhances the list of service activities in the dossier

VIII Appeals

Disagreement with a negative decision is not grounds for appeal. In pursuing an appeal, the faculty member is required to document the failure of one or more parties to the review process to follow written policies and procedures.

IX Seventh-Year Reviews
Faculty Rule 3335-6-05, http://trustees.osu.edu/rules/university-rules.html sets forth the conditions of and procedures for a Seventh Rear Review for a faculty member denied tenure as a result of a sixth year (mandatory tenure) review.

Appendices

A. Procedures for Student Evaluation of Teaching
Use of the Student Evaluation of Instruction (SEI) form is required in every course offered in this department. Faculty should choose a day late in the term when attendance is likely to be high to distribute the form. A graduate teaching associate, staff member, or other faculty member should administer the evaluation forms to the class and return them to the Office of the University Registrar as instructed. This individual should encourage a high completion rate by explaining to the class the significance of the evaluation. When a small proportion of the class completes the evaluation, the resulting information has little value either for improving instruction or for performance evaluation.

B Procedures for Peer Evaluation of Teaching
The Promotion and Tenure Committee chair oversees the department's peer evaluation of teaching process.
Annually the Promotion and Tenure Committee chair appoints a Peer Review of Teaching Committee of a size judged sufficient to meet the volume of peer review activity expected that year, without overburdening any of the members. The term of service is one year, with reappointment possible. Reasonable efforts are made to distribute service among the tenured faculty from year to year in order to support and encourage attention to the quality of teaching in the department. Although there is no presumption that a peer reviewer must be of equal or higher rank than the faculty member being reviewed, such a model will be followed to the extent possible.

The responsibilities of the Peer Review of Teaching Committee are as follows:

- to review the teaching of probationary tenure track and regular clinical track faculty at least once per term during the first two years of service, and at least twice per year during the remainder of the probationary period, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned in the course of each probationary year

- to review the teaching of tenured associate professors and nonprobationary associate professors-clinical at least once per year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a three year period

- to review the teaching of tenured professors and nonprobationary professors-clinical at least once every four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review

- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.

- To review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The department chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the University Center for the Advancement of Teaching (www.ucat.osu.edu).

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

Regularly scheduled peer teaching evaluation (the first three situations listed above) is comprehensive and includes, in addition to classroom visitation, review of course syllabi, instructional materials, assignments, and exams. Classroom visitation is conducted by two or more committee members attending together and is unannounced. However, at the beginning of the term, the committee will request from the faculty member a list of dates on which visitation would be inappropriate because exams are being given, guest speakers are scheduled, etc.

Peer review focuses particularly on aspects of teaching that students are less qualified than faculty to evaluate, such as appropriateness of curricular choices given the goals of the course (survey as opposed to required major course), implicit and explicit goals of instruction, quality and effectiveness of testing tools, and appropriateness of approach relative to current disciplinary knowledge. As part of its evaluation the committee examines copies of the faculty member's SEI summaries from recent years, and where student
opinion is mixed to negative, the committee attempts to ascertain the reasons. In so doing, members are to bear in mind that they have observed only one or a few classes out of the term, and moreover have a very different level of knowledge compared to students. Consequently their assessment may differ considerably from that of the majority of students.

At the conclusion of the review, the committee submits a written report to the department chair, copied to the faculty member. The faculty member may provide written comments on this report and the committee may respond in writing to those comments if it wishes. All such comments are appended to the report for inclusion in the faculty member's promotion and tenure dossier, unless the faculty member requests that the comments be excluded.

Regularly scheduled reviews are both summative and formative (they provide both an assessment of the faculty member's teaching for use in annual and promotion reviews, and advice to improve the faculty member's teaching).

Appendix C: BME Peer Teaching Evaluation Form

Peers Evaluation of Teaching
Department of Biomedical Engineering

INSTRUCTOR: ______________________ DATE: ________________

COURSE / TOPIC: _____________________________________________________________

EVALUATOR: _______________________________________________________________

5 = Excellent, 4 = Very Good, 3 = Average, 2 = Below Average, 1 = Poor

1. Preparation for lecture
   Rating: 5 4 3 2 1
   Comments:

2. Objective of the lecture (objectives and student expectations stated clearly)
   Rating: 5 4 3 2 1
   Comments:

3. Interest, Enthusiasm, Rapport with the Students
   Rating: 5 4 3 2 1
   Comments:

4. Organization of the lecture material
   Rating: 5 4 3 2 1
   Comments:
5. Audiovisual, learning materials, handouts
   Rating: 5 4 3 2 1
   Comments:

6. Observations of Students reactions and interest
   Rating: 5 4 3 2 1
   Comments:

7. Responsive to student feedback
   Rating: 5 4 3 2 1
   Comments:

8. Pace and level of the lecture
   Rating: 5 4 3 2 1
   Comments:

9. Answering questions
   Rating: 5 4 3 2 1
   Comments:

10. Use of Examples
    Rating: 5 4 3 2 1
    Comments:

11. Overall quality of the lecture
    Rating: 5 4 3 2 1
    Strengths:
Weaknesses:

Overall Comments:
Appendix D: Timeline Guide

Specific Timeline Guide (to be used as a guideline to help meet specific deadlines with the Quarter-based calendar. Adjustments will be made once deadlines for the Semester-based calendar are known.)

This is a guideline so there is leeway with the listed dates – except for the dates that affect when materials are delivered to the College. If falling on a weekend, due dates should generally be adjusted to the preceding Friday.

Tenure cases:

By January 15
- AP&T Chair reviews prior documentation of teaching performance, checking for completeness
- AP&T Chair reviews file, checking to make sure all past annual reviews are available
- Assigns two AP&T committee members to review classroom visits and assessments
- Evaluative: written critique, using form from AP&T document

Due 5/15 (from candidates)
- 1 page biography*
- 3 page summary of research, teaching, service accomplishments and plans*
- CV*
- 3-5 peer-reviewed, archival papers*
  *To be sent to external evaluators
- Names of 5 potential evaluators
- Updated Dossier, V1

By 6/1:
- AP&T committee will generate names for 10 potential evaluators (with input from Department Chair)
- AP&T Chair will ask candidate to review the list – the candidate may remove up to 2 names
- AP&T Committee and Dept Chair will decide about which, if any, additional regular OSU faculty to ask to serve on the AP&T committee for the coming year

By 6/15:
- AP&T Committee will have a final list of 8 external evaluators, no more than 2 from the candidate's list.
- AP&T Chair will call and/or e-mail all 8 evaluators asking if they will provide evaluation by 8/15
- AP&T Chair will ask candidate for updated CV, if needed, to send to reviewers

By 7/1:
- Letter soliciting an evaluation of the candidate is mailed to the 8 evaluators. Letter is signed by Department Chair and AP&T Committee Chair and sent with the 1 page biography, 3-page summary, 3-5 papers, and CV. Due date back from evaluators is 8/15.

By 8/10:
- AP&T Chair sends evaluators “gentle reminders” of upcoming due date

8/16:
- AP&T Chair begins nagging if there are less than 5 letters in receipt.

9/1:
- Final dossier due from the candidate
- Initial meeting of AP&T committee with Department Chair
5 meeting times will be scheduled for AP&T meetings
Duties assigned to subcommittees, members appointed:
  Research (including verification of citations)
  Teaching (including SEI, peer review, etc.)
  Service

Committee meetings 1, 2, 3 (draft letter)

10/15: (Committee meeting 4)
  Committee vote and letter finalized
  Committee contributions to packet due (including citation verification, SEI, etc.)
  Forms signed by committee members

10/16: Committee letter complete and signed

10/20: Department Chair letter complete and signed
  Committee letter and Department Chair letter available to candidate

10/30: Candidate response, if any, due
  Final committee meeting (5)

11/1: Final packet ready for submission to the Dean’s office

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4th Year Review cases:
By 11/10
  AP&T Chair reviews prior documentation of teaching performance, checking for completeness
  AP&T Chair reviews file, checking to make sure all past annual reviews are available

Due 12/1 (from candidates)
  1 page biography
  3 page summary of research, teaching, service accomplishments and plans
  4-year record of research activity (form to be supplied)
  SEI from most recent year’s courses
  CV
  3-5 peer-reviewed, archival papers
  Updated Dossier, V1

1/15:
  Final dossier due from the candidate

  Initial meeting of AP&T committee with Department Chair
  4 meeting times will be scheduled for AP&T meetings
  Duties assigned to subcommittees, members appointed:
    Research (including verification of citations)
    Teaching (including SEI, peer review, etc.)
    Assigns two committee members to review classroom visits and assessments
    Evaluative: written critique, using form from AP&T document

Approved by the Office of Academic Affairs
11/09/11
Service

Committee meetings 1, 2 (draft letter)

2/9: (Committee meeting 3)
  Committee vote and letter finalized
  Committee contributions to packet due (including citation verification, SEI, etc.)
  Forms signed by committee members

2/12: Committee letter complete and signed

2/16: Department Chair letter complete and signed
  Committee letter and Department Chair letter available to candidate

2/26: Candidate response, if any, due
  Final committee meeting (4)

2/28: Final packet ready for submission to Dean’s Office

Annual Review: probationary faculty members:

By 3/30
  AP&T Chair reviews prior documentation of teaching performance, checking for completeness
  AP&T Chair reviews file, checking to make sure all past annual reviews are available

Due 4/23 (from faculty member)
  1 page biography
  3 page summary of research, teaching, service accomplishments and plans
  4-year record of research activity (form to be supplied)
  SEI from year’s courses
  CV
  Updated Dossier

4/27:
  Initial meeting of AP&T committee with Department Chair
  Schedule 2 meetings for AP&T meetings
    Research: assessment; suggestions
    Teaching: assessment; suggestions
    Service: assessment; suggestions

5/14: Committee comments finalized

by 6/15: faculty member one-on-one meeting with Department Chair

6/15: Chair letter to faculty member, copied to Dean
Annual Review: tenured faculty members:

The following is for a “standard” annual review. Tenured faculty may also periodically request an evaluation by the full professors on the AP&T committee (e.g., prior to promotion, or for seeking a broader perspective on achievements) similar to that for probationary faculty members.

Due 5/4 (from faculty member)
- 1 page biography
- 3 page summary of research, teaching, service accomplishments and plans
- 4-year record of research activity (form to be supplied)
- SEI from year’s courses
- CV
- Updated Dossier

by 6/15: faculty member one-on-one meeting with Department Chair

6/15: Chair letter to faculty member, copied to Dean