Appointments, Promotion, and Tenure Criteria and Procedures for the College of Optometry

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II. PREAMBLE

The purpose of this document is to establish a set of standard criteria and procedures for making appointments, recommending the granting of tenure and promotion in rank, conducting annual reviews, and determining salary increases and other rewards. Peer evaluation provides the foundation for all decisions regarding appointment, reappointment, and promotion and tenure governed by this document. Consequently, the faculty of the College of Optometry is vested with the responsibility for providing full and informed participation in the peer review process.

Should these rules be amended, the procedures in effect at the time of initiation of a process of appointment, reappointment, promotion or tenure review will apply to the case under consideration.

This document supplements the Rules of the University Faculty and the procedural guidelines from the Office of Academic Affairs' (OAA) Policies and Procedures Handbook, which provides the specific procedures for submission of dossiers and the preparation of dossiers and the dossier outline. Appendix A provides links to those University Rules, and to the OAA Handbook.

Definitions
There are two broad categories of faculty: regular faculty and auxiliary faculty. These faculty tracks are defined in University Rule 3335-5-19. Regular faculty tracks include tenure track, clinical track, and research track. Throughout this document, unless otherwise specifically qualified or defined, these three faculty tracks are recognized as "regular" faculty.

Auxiliary faculty tracks include auxiliary clinical track, adjunct faculty, lecturers, and visiting faculty. Any issues involving auxiliary faculty will explicitly state the track(s) under discussion (Rule 3335-5-19(D)).

In the College of Optometry, an appointment of 50% full-time equivalent (FTE) or greater is considered a full-time appointment. If a regular faculty member appointment falls below 50% FTE service to the university, he or she is considered Auxiliary faculty (see Rule 3335-5-19-D).

Appendix B contains a table listing responsibilities and expectations of different faculty tracks. These guidelines reflect applicable University rules and were developed by the College of Optometry faculty. They are intended to aid individual faculty, faculty candidates, and administrators in understanding the roles and activities expected of members of the different faculty tracks.

Appendix C contains a table listing the requirements for committee membership and voting eligibility for AP&T procedures. This table is intended as a summary of what is contained in the corresponding sections of the document. If ambiguities, or apparent discrepancies between the two are identified, the content of the document itself supersedes the table in Appendix C.

Appendix D contains guidelines for peer review of classroom teaching, which were developed by College faculty.

Appendix E contains guidelines for peer review of clinical teaching by full-time auxiliary faculty, which were developed by College faculty.
Appendix F contains links to Compensation Principles, as defined by the Office of Academic Affairs, the Office of Human Resources, and the College of Optometry.

Conflicts of interest and potential conflicts of interest are considered carefully throughout all processes involving appointments, annual reviews, and reviews for promotion and/or tenure. The goal of considering conflicts of interest is to ensure that the integrity of the process is preserved, and that all parties are treated fairly and without either undue favor or prejudice. This conflict may take any one of a variety of forms, including familial or close personal and/or professional relationships. Regardless of the nature of the conflict, the overarching consideration is the preservation of the integrity of the process.

In all instances of committee membership, meeting participation, and voting eligibility, those with a conflict shall be recused from the process. In many cases the individual will recognize the conflict and remove him or herself from the proceedings. In others, the chair of the search committee, annual review committee, or promotion committee may recognize the conflict and exclude the individual from participation. In situations in which it is not clear whether the conflict will compromise the integrity of the process, consultation with the committee chair and/or the dean may occur to resolve the question. When someone does not participate in a vote due to a conflict, the numbers needed to constitute a quorum, majority, etc. are reduced accordingly. These considerations regarding conflicts apply throughout this document.

III. COLLEGE MISSION
The mission of the College of Optometry at The Ohio State University is:
• To educate excellent optometrists through our professional, residency, and continuing education programs.

• To conduct excellent research in vision science, through our graduate education and research programs.

• To provide excellent optometric care to the community, through our teaching clinics, externship sites, and residency programs.

IV. APPOINTMENTS
It is consistent with the College mission that all candidates for faculty appointment meet the highest possible academic standards so as to contribute to the knowledge in vision science; however, they must also possess the willingness to be a strong participant in the cooperative process of the education of students and service to the profession. This requires the personal qualities of commitment, professionalism, collegiality, intellectual prowess, teaching skill, and service acumen. Although individual faculty may have specialized interests, the college requires adequate diversity among its faculty to fully meet the required breadth of teaching, research, service, and clinical care. Therefore, to achieve excellence, the criteria for appointment of faculty members must measure the qualities of the candidate against the needs of the College’s programs.
A. Criteria

1. Regular Tenure Track Faculty

The University rules concerning appointments, reappointments, promotion and tenure of tenure track faculty are described in University Rule 3335-6. Appointment at the rank of assistant professor requires a Ph.D., other earned doctoral degree, an O.D., or other terminal professional degree in the appointee's area of expertise. Appointment of a candidate who does not hold a Ph.D. degree requires evidence of sufficient research experience and publication to suggest that the candidate will be able to pursue an independent course of research sufficient to lead to successful attainment of tenure.

Appointment at the rank of instructor is permitted only in cases where the appointee is in the process of completing his or her terminal degree at another institution and is limited to a period of three years.

Appointments at ranks above assistant professor normally require the awarding of tenure. The appointee must have sufficient academic experience and evidence of scholarly activity to meet the criteria for promotion and tenure at the appropriate rank. Appointments made at the rank of associate professor may, in exceptional cases, require a probationary period of up to four years (Rule 3335-06-03-B-1).

Tenure track appointments are probationary prior to the awarding of tenure (Rule 3335-6-03). The faculty member will be informed by the end of the penultimate year of the probationary term as to whether a new offer will be extended at the conclusion of the probationary term. In the event that a new offer is not extended, the final year of the probationary term is the terminal year of employment. There is no presumption that a new offer will be extended. In addition, the terms of employment may be renegotiated at the time of reappointment.

Note that the University does not grant tenure in the absence of permanent residency. (OAA Policies and Procedures Handbook, Faculty Appointments – Appointment of Foreign Nationals, http://oaa.osu.edu/documents/OAAHBVol1_002.pdf)

2. Regular Clinical Track Faculty

The University rules concerning appointment, reappointment, non-reappointment, and promotion of clinical track faculty are described in University Rule 3335-7. The duties of clinical track faculty normally require licensure to practice optometry in the state of Ohio. Therefore, appointment to the clinical track requires the O.D. degree and a license to practice the broadest scope of optometry in Ohio. Candidates who have not obtained an Ohio license at the time of initial appointment are expected to meet this requirement within one year of appointment. In very unusual circumstances, this requirement for the O.D. degree and Ohio licensure can be waived by the dean, following concurrence of the regular faculty.

Regular clinical track appointments are probationary during the initial contract period (Rule 3335-7-07). Probationary faculty members are appointed on an annual basis.

In the College of Optometry, the number of regular clinical faculty may not exceed 40% of the number of tenure track faculty (see University Rule 3335-7-03). Research track faculty have no impact on this ratio. Any transfer between tracks must keep the College in compliance with this ratio.
3. Regular Research Track Faculty

Research track faculty members are researchers and shall be engaged in research related to the mission and goals of the College of Optometry. The University rules concerning appointment, non-reappointment, and promotion of research track faculty are described in Faculty Rule 3335-7-30 through 3335-7-40.

Research track appointments are probationary during the initial contract period (Rule 3335-7-35). Probationary faculty members are appointed on an annual basis.

University Rule 3335-7-32 stipulates that research track faculty cannot exceed 20% of the number of tenure track faculty, unless otherwise authorized by a majority vote of the tenure track faculty. A 30% limit was authorized by a vote of College of Optometry tenure track faculty (Faculty Advisory Committee Minutes, 6/30/2004). Regular clinical track faculty have no impact on this ratio. Any transfer between tracks must keep the College in compliance with this ratio.

A research faculty member may, but cannot be required to participate in limited teaching; however, teaching assignments for each research track faculty member must be approved by a majority vote of the tenure track faculty (See Appendix B for exceptions). Under no circumstances may a member of the research faculty be continuously engaged over an extended period in the same instructional activities as tenure track faculty.

Research faculty members are able to supervise graduate students. They can routinely serve as category M faculty after appropriate application procedures. Research faculty may apply for category P status, subject to the approval of the College’s Research and Graduate Studies Committee and the Graduate School.

Appointments will be for a period of up to five years. The letter of offer must explicitly state the expectations for salary support and generally will require 100% salary recovery. It is expected that salary recovery/support will be derived from extramural funds. Brief lapses in extramural funding may be covered using other funds if approved by the dean in consultation with the regular faculty.

Research track faculty must have an earned doctorate or other terminal degree in the relevant field. Appointments at ranks above research assistant professor require that the appointee must have sufficient academic experience and evidence of scholarly activity to meet the criteria for promotion to that rank. In accordance with University rules, appointment to advanced ranks requires pre-approval from the Office of Academic Affairs.

4. Auxiliary Faculty

University rule 3335-5-19 describes auxiliary faculty. Auxiliary faculty members have auxiliary clinical, adjunct, lecturer, or visiting titles. Appointment criteria for full-time (50% or greater FTE) auxiliary clinical faculty are similar to the criteria for their regular clinical track counterparts. Part time (including no salary) clinical auxiliary faculty members are not required to be professionally licensed in the state of Ohio if their home facility or practice site is outside of the state of Ohio (for example at an extern site), but they must be licensed in their home state at the broadest scope of practice.
Appointment of auxiliary faculty with "adjunct" and "visiting" titles may be made upon the recommendation of the dean subject to the approval of the majority of the regular faculty. The appointee must provide a curriculum vitae for examination by all voting-eligible faculty members prior to the vote.

Auxiliary faculty are appointed to one-year terms.

5. Courtesy Appointments

Courtesy appointments may be extended to regular clinical or tenure track faculty holding appointments outside the College of Optometry who have active involvement in the optometric and/or graduate programs of the college. These faculty members must meet the criteria established for the regular faculty ranks. Courtesy faculty members are not eligible for College committee membership or voting on matters involving Appointments, Promotion, and Tenure.

Courtesy appointments in the College of Optometry are for five-year terms, and must be renewed annually.

B. Procedures

1. Regular Tenure Track Faculty

The appointment of an individual to the rank of assistant professor or instructor is initiated on the recommendation of a faculty search committee. The faculty search committee is appointed by the dean of the College of Optometry and consists of three members selected from the tenured faculty, at least one of whom must be an optometrist. The search committee chair is designated by the dean.

The search committee may be charged by the dean to direct its search for individuals who meet specific programmatic goals or have specific qualifications. The procedures for appointments to advanced ranks are similar to appointment at the rank of assistant professor. A decision to seek candidates for an advanced rank may be made by the dean after open discussion with, and concurrence of, a simple majority of all faculty eligible to vote on appointment to the advanced rank.

The primary goal of the committee is to recruit and select individuals of the highest intellectual, academic, and professional standards. The faculty search committee is responsible for creating the job description and advertisements. The position must be announced and advertised in a way that will reach the appropriate potential candidates. A majority of the regular faculty must approve the job description and timeline for the search process. The search committee will determine how long the position is advertised, and which publications, journals, or other media are most appropriate for the particular position. The duration and methods of advertising the position should not have the effect of limiting or restricting applications from any particular candidate(s).

All faculty searches should be advertised to reach an international audience. In order to meet U.S. Department of Labor requirements for the hiring of foreign nationals, search committee must place at least one advertisement in a nationally circulated print journal during the recruitment process for tenure track faculty positions. (p. 45 at http://oaa.osu.edu/documents/OAAHBVolI_002.pdf)

Faculty searches must also be advertised through the University Personnel Postings.

The search committee conducts the faculty search, solicits and receives external letters of reference, selects candidates to visit the college, and determines their visit agenda. The candidate's application
materials and the visit agenda must be available to the faculty prior to the candidate’s visit. The visit agenda should provide the opportunity for the candidate to meet with faculty in both a professional and social setting. Specific agenda items must include: a closed interview with the candidate conducted by the search committee, a meeting with the college executive committee, a meeting with the dean, an informal forum open to all college faculty, and a formal presentation open to the entire university community.

The search committee ultimately selects a short list of candidates, and forwards it to the dean for the final selection. The dean may select any candidate(s) from the short list, direct the committee to continue its search, or dissolve the search committee.

Prior to offering a position to the selected candidate, approval is required by a vote of the eligible faculty members using a validated secret ballot. Voting eligibility and quorum requirements are described below. The voting process is conducted by the search committee after all eligible faculty members have had reasonable time to read the candidate's curriculum vitae and other documentation, which must be made available for examination by all faculty. An eligible faculty member away from the institution during this period must be provided these same materials.

Voting-eligible faculty members are all tenured faculty members (1) of equal or higher rank to the proposed rank of the candidate for appointment, (2) who do not have the title “dean,” “associate dean,” or “assistant dean,” and (3) who do not have close family, personal, or professional ties to the candidate that might give the impression of impropriety, as determined by the search committee. In cases of disagreement about voting eligibility, the dean shall be the final arbiter. A “yes” or “no” vote must be received from a quorum of at least 2/3 of the voting-eligible faculty, and a simple majority of those voting “yes” or “no” is required for approval. The chair of the search committee must assure compliance with these rules.

In the case of a candidate being considered for appointment to an advanced rank, the chair of the search committee will convene a meeting of the eligible faculty to discuss the case, prior to the vote. In addition, prior approval is required from the Office of Academic Affairs before making an offer to an advanced rank.

It is the responsibility of the dean to make the letter of offer to the candidate and to conduct the final negotiations for the position. A copy of the letter of offer must be provided to the chair of the search committee. If a candidate is rejected by the faculty vote or if the candidate does not accept the offer of appointment, the dean may select another candidate from the short list of candidates recommended by the search committee. The voting process must then be repeated. This process may be iterated, at the discretion of the dean, until the search committee's candidate list is exhausted.

The letter of offer for faculty to be hired to advanced rank must be approved by the Office of Academic Affairs prior to being sent to the candidate. In addition to a copy of the letter of offer, a detailed curriculum vitae, five external evaluations (no more than half of which should be suggested by the candidate) and a letter from the chair of the search committee and the dean supporting the appointment at the desired rank and tenure status is required by the Office of Academic Affairs for its review.

Transfer to the tenure track from a clinical track or research track position must be in accordance with
the procedures specified for new appointments, i.e., a clinical track or research track faculty member may become a candidate in a duly conducted search for a tenure track faculty member and is subject to the same rules and considerations as other candidates for the position.

2. Regular Clinical Track Faculty
The appointment of an individual to the rank of assistant professor of clinical optometry or instructor of clinical optometry is initiated on the recommendation of a faculty search committee. The faculty search committee is appointed by the dean of the College of Optometry and consists of three faculty members holding the rank of associate professor or professor on the tenure track or the clinical track, two of whom must be optometrists.

The search committee chair is designated by the dean. The search committee may be charged by the dean to direct its search for individuals who meet specific programmatic goals or have specific qualifications. A majority of the regular faculty must approve the job description and timeline for the search process. The procedures for appointments to advanced regular clinical ranks are similar to appointment at the rank of assistant professor of clinical optometry. A decision to seek candidates for an advanced rank may be made by the dean after open discussion with, and concurrence of, a simple majority of all faculty eligible to vote on appointment to the advanced rank.

The primary goal of the committee is to recruit and select individuals of the highest standards. The faculty search committee is responsible for creating the job description and advertisements. The position must be announced and advertised in a way that will reach the appropriate potential candidates. In consultation with the regular faculty, the committee will determine how long the position is advertised, and which publications, journals, or other media are most appropriate for the particular position. The duration and methods of advertising the position should not have the effect of limiting or restricting applications from any particular candidate(s).

The search committee conducts the faculty search, solicits and receives external letters of reference, selects candidates to visit the college, and determines their visit agenda. The candidate's application materials and the visit agenda must be available to the faculty prior to the candidate’s visit. The visit agenda should provide the opportunity for the candidate to meet with faculty in both a professional and social setting. Specific agenda items must include: a closed interview with the candidate conducted by the search committee, a meeting with the college executive committee, a meeting with the dean, an informal forum open to all college faculty, and a formal presentation open to the entire university community.

The search committee ultimately selects a short list of candidates, and forwards it to the dean for the final selection. The dean may select any candidate(s) from the short list, direct the committee to continue its search, or dissolve the search committee.

Voting-eligible faculty members are all non-probationary clinical track faculty members of equal or higher rank to the proposed rank of the candidate for appointment and all tenured faculty members. Excluded from voting, however, are 1) those that have the title "dean," associate dean," or "assistant dean" and 2) those that have close family, personal, or professional ties to the candidate that might give the impression of impropriety, as determined by the search committee. In cases of disagreement about voting eligibility, the dean will be the final arbiter. To remain eligible to vote, a faculty member must review the materials provided by the committee. A "yes" or "no" vote must be received from a
quorum of at least 2/3 of the voting-eligible faculty, and a simple majority of those voting “yes” or “no” is required for approval. The chair of the search committee must assure compliance with these rules.

In the case of appointment to an advanced rank, a meeting of the eligible faculty will be held, led by the chair of the search committee, to discuss the case before a secret ballot is distributed.

The letter of offer for faculty to be hired to advanced rank must be approved by the Office of Academic Affairs prior to being sent to the candidate. In addition to a copy of the letter of offer, a detailed curriculum vitae, five external evaluations (no more than half of which should be suggested by the candidate) and a letter from the chair of the faculty search committee and the dean supporting the appointment at the desired rank is required by the Office of Academic Affairs for its review.

A tenure track faculty member may request a transfer to the clinical track at any time. When a tenured faculty member transfers to the clinical track, tenure is relinquished. The transfer must be approved, using validated secret ballot, by a simple majority of the tenured faculty. Only one transfer may be approved during the individual's period of employment at The Ohio State University.

Transfer to the regular clinical track from a research track position must be in accordance with the procedures specified for new appointments. That is, a research track faculty member may become a candidate in a duly conducted search for a regular clinical track faculty member and is subject to the same rules and considerations as other candidates for the position.

3. Regular Research Track Faculty

The appointment of an individual to the rank of research assistant professor or above is initiated by a recommendation to the dean by a faculty member. An appointment committee is appointed by the dean and shall consist of at least three members selected from the tenured faculty. The appointment committee chair is designated by the dean.

The primary goal of the appointment committee is to evaluate the individual and make a recommendation to the tenured faculty concerning the appointment. The committee may solicit letters of reference and, if appropriate, arrange for a visit to the College. The candidate's application materials and the visit agenda must be available to the faculty prior to the candidate’s visit. The visit agenda should provide the opportunity for the candidate to meet with faculty in both professional and social settings. Specific agenda items may include: a closed interview with the candidate conducted by the committee, a meeting with the dean, the college executive committee, an informal forum open to all college faculty, and a formal presentation open to the entire university community.

Voting-eligible faculty members are all non-probationary research track faculty members of equal or higher rank to the proposed rank of the candidate for appointment and all tenured faculty members. Excluded from voting, however, are 1) those that have the title “dean,” associate dean,” or “assistant dean” and 2) those that have close family, personal, or professional ties to the candidate that might give the impression of impropriety, as determined by the appointment committee. In cases of disagreement about voting eligibility, the dean shall be the final arbiter.

All eligible faculty members are expected to familiarize themselves with the qualifications of the candidate. The chair of the appointment committee will make the candidate's CV and other materials
available to the eligible faculty for their inspection. An eligible faculty member away from the
institution during this period must be provided these materials relating to the candidate. To remain
eligible to vote, a faculty member must review the materials provided by the committee. A “yes” or
“no” vote must be received from a quorum of at least two-thirds of voting-eligible faculty, and a
simple majority of those voting is required for approval. Validated secret ballots are used in this vote.
The appointment committee makes its recommendation for appointment or otherwise to the dean. It is
the task of the chair of the appointment committee to assure compliance with these rules.

It is the responsibility of the dean to draft a letter of offer to the candidate and to conduct the final
negotiations for the position.

In the case of a candidate being considered for appointment to an advanced rank, the chair of the
search committee will convene a meeting of the eligible faculty to discuss the case, prior to the vote.
In addition, prior approval is required from the Office of Academic Affairs before making an offer to
an advanced rank.

In the case of candidates for an advanced rank, the appointment procedures are as described for
research assistant professors. The letter of offer for faculty to be hired to advanced rank must be
approved by the Office of Academic Affairs prior to being sent to the candidate. In addition, a
detailed curriculum vitae, five external evaluations (no more than half of which should be suggested
by the candidate) and a letter from the chair of the appointment committee and the dean supporting
the appointment at the desired rank is required by the Office of Academic Affairs for its review.

A tenure track faculty member may request transfer to the research faculty no later than the beginning
of the fourth year of service, or any time after tenure has been granted. When a tenured faculty
member transfers to the research track, tenure is relinquished. A regular clinical track faculty member
may request transfer to the research track at any time. The transfer must be approved, using validated
secret ballot, by a simple majority of the tenured faculty. Only one transfer may be approved during
the individual's period of employment at The Ohio State University.

4. Auxiliary Faculty
The procedures for the initial appointment of full-time auxiliary faculty are described below. For
auxiliary faculty who will primarily teach within the college or its clinics, a committee of two regular
faculty members (typically the Associate Dean and the Assistant Dean for Clinical Services), in
consultation with any appropriate clinic service chief(s) will identify and recruit candidates. This may
or may not involve an open national search. For external auxiliary faculty and residency preceptors,
two faculty appointed by the dean will identify and recruit candidates. A candidate for a full-time
auxiliary faculty appointment (i.e. at least 50% FTE) within the College must have an opportunity to
meet with faculty. Appropriate arrangements would be either a forum open to all or appointments
with individual faculty members. Candidates who will be primarily involved in scholarly activity
must give a scholarly presentation open to the University community.

Faculty members eligible to vote in the case of clinical auxiliary faculty are all tenure track and
clinical track faculty. Eligible faculty in the case of adjunct and visiting faculty are tenure track
faculty of equal or higher rank to the proposed rank. A quorum of two-thirds of the eligible voting
faculty is required. All appointments are for one-year terms and require annual reappointment

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following the procedures described in section VII.B.6.

Part-time, including without compensation, auxiliary faculty candidates may be selected directly by the dean, without a formal search process or search committee. The initial appointment must be approved by the majority of all regular faculty. The procedures for reappointments are described in Section VII.B.6.

5. Courtesy appointments for regular faculty

Courtesy appointments have 0% FTE, and can be held by a regular faculty member at OSU whose primary appointment is outside the College of Optometry. Courtesy appointments are appropriate only when that faculty member has substantial involvement in the academic work of the College. Recommendations for courtesy appointments are made by the dean and are subject to approval by a simple majority of the eligible faculty. Eligible faculty and voting rules correspond to those for regular faculty appointments at the same rank. Courtesy faculty appointments expire after five years and require reappointment for continuation.

V. Annual Review Procedures

Every full-time (i.e. \( \geq 50\% \) FTE) faculty member must have an annual performance review. For probationary faculty, this review is a critical component of monitoring progress toward tenure, promotion, or reappointment. For all faculty, the review serves as a basis for annual salary recommendations, for assisting faculty in developing and carrying out professional plans, and for calling attention to performance problems where they exist. Every faculty member is responsible for maintaining an up-to-date curriculum vitae, which should be submitted with the annual review.

Peer review of teaching is an important component of professional development, and all regular tenure and clinical track faculty members are required to participate in peer review of teaching. Guidelines for peer review of teaching, selection of reviewers, and timing of reviews, are provided in Appendices D and E.

A. Probationary Tenure Track Faculty

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

During a probationary period, a faculty member shall be reviewed annually in accordance with Faculty Rule 3335-6-03 and with the policies of the College and University. The annual review should assess the faculty member's continuing development in teaching, scholarship, and service. The dean appoints an annual review committee of three tenured faculty members, not including the dean, one of whom must be an optometrist, from within the College, to assess the progress of each probationary faculty member. The committee should be appointed initially at the time of hire and should ideally retain at least two continuing members between subsequent years. Members of this committee also serve as mentors to the candidate. Faculty members with a family or comparable relationship, or a close professional relationship that may give rise to a conflict of interest with a candidate, must not serve on the annual review committee of that candidate.
The annual review committee is responsible for conducting peer review of teaching at least once during the probationary period. The annual review committee may obtain external evaluations of the faculty member's teaching, research, or service for inclusion in its report. The committee provides the dean with a written annual review letter evaluating the progress of the probationary faculty member toward tenure. The dean will provide a separate written assessment of the faculty member's performance and professional development. The dean's assessment letter should comment on the faculty member's performance as measured against expectations, which must reasonably reflect the faculty member's teaching and service assignments and the time and resources available for research. The faculty member receives a copy of both evaluation letters and an indication as to whether he or she will be appointed for an additional year.

The faculty member may provide the dean with written comments on the annual review for inclusion in the dossier. All annual review letters become part of a faculty member's dossier for subsequent annual reviews during the probationary period, including review for promotion and tenure. All annual review letters and accompanying documentation are forwarded to the Office of Academic Affairs for University review during the Fourth-Year and mandatory reviews.

In the event that the annual review committee or the dean believes that non-renewal of the appointment may be appropriate, the case will be directed to the eligible faculty (tenured faculty except for the dean) for review and vote. The eligible faculty will consider the case using fourth-year review procedures (see next paragraph) and forward a recommendation to the dean. If the dean recommends non-renewal, the candidate may provide the dean with written comments on the annual review for inclusion in the dossier, and the case is forwarded to the Office of Academic Affairs and University level review. The provost makes the final decision. If the dean recommends renewal of the probationary appointment, that decision is final and the case is not forwarded to the Office of Academic Affairs.

1. Fourth-year review

The fourth-year review follows the same process as the review for tenure and promotion, except that external letters of evaluation are not solicited. The fourth-year review committee shall be appointed by the dean from the eligible faculty (tenured faculty except for the dean) and consists of at least three faculty members, at least one of whom must be an optometrist. It is the role of the annual review committee to present the case of the candidate for reappointment to the eligible faculty in a written report that reviews the candidate's strengths and weaknesses in teaching, scholarship, and service. The committee's report may not make an explicit recommendation about the reappointment.

The fourth-year review committee supervises the voting procedure using a validated secret ballot. Only "yes" or "no" votes are valid, and at least three-quarters of eligible faculty must vote. Voting-eligible faculty members are all tenured faculty members (1) of equal or higher rank to the proposed rank of the candidate for appointment, (2) who do not have the title "dean," "associate dean," or "assistant dean," and (3) who do not have close family, personal, or professional ties to the candidate that might give the impression of impropriety, as determined by the search committee. In cases of disagreement about voting eligibility, the dean shall be the final arbiter. A recommendation in favor of promotion and tenure requires a majority of at least two-thirds of the valid votes cast.

The annual review committee supervises the voting procedure using a validated secret ballot, after
the candidate's dossier, supporting documentation, and the written report of the annual review committee have been made available for examination by the eligible faculty for a reasonable time and after a meeting of at least two-thirds of the eligible faculty to discuss the candidacy has been conducted by the annual review committee chair.

Reappointment after the fourth-year review requires the approval of the Office of Academic Affairs.

The results of the fourth-year review will be communicated to the faculty member in writing, by the dean within ten calendar days. In cases of non-renewal of an appointment, standards of notice, as set forth in Rule 3335-6-08 will be followed.

2. Exclusion of time from probationary period
When requested by the candidate in accordance with Faculty Rule 3335-6-03, it is the duty of the annual review committee to make recommendations with regard to time to be excluded from the candidate's probationary period.

B. Tenured Faculty
A written annual review is required of each tenured faculty member. The Office of Academic Affairs requires a scheduled opportunity for a face to face meeting between the dean/designee for all faculty members, including tenured. Associate professors should prepare an annual report in the form of a dossier consistent with that outlined by the Office of Academic Affairs’ Policies and Procedures Handbook. Full professors should prepare a four-page annual report containing the following components: 1) instruction: a listing of course assignments for each contact quarter, by course number and duties, with special emphasis on innovations, and any problems needing attention; 2) research: a list of publications over the past four quarters; manuscripts published, accepted and submitted; funding of research by category and graduate student teaching involvement; 3) service: within the college, university and profession; and 4) future goals: plans for teaching, research and service in the next academic year.

C. Regular Clinical Faculty
The annual review process for clinical track faculty in the second and subsequent terms of appointment is in accordance with Faculty Rule 3335-7-08. The annual review should assess the faculty member's continuing development in teaching, scholarship, and service. The dean appoints an annual review committee for clinical faculty. The committee consists of three members from among the tenure and regular clinical tracks. It must include at least one tenured faculty member who is an optometrist and at least one clinical track faculty member with the rank of associate professor of clinical optometry or higher. The eligible voting faculty members for a ballot considering non-reappointment are all clinical track faculty holding the rank of associate professor or higher and all tenured faculty. A quorum of two-thirds of the eligible voting faculty is required, and a two-thirds majority is required for renewal.

A written annual review is required of each regular clinical track faculty member. The Office of Academic Affairs requires a scheduled opportunity for a face to face meeting between the dean/designee for all faculty members. Associate professors of clinical optometry should prepare an annual report in the form of a dossier consistent with that outlined by the Office of Academic Affairs’ Policies and Procedures Handbook. Full professors of clinical optometry should prepare a four-page annual report containing the following components: 1) instruction: a listing of course and clinic
assignments for each contact quarter, by course number and duties, with special emphasis on innovations, and any problems needing attention; 2) scholarship: a list of publications over the past four quarters; manuscripts published, accepted, and submitted; funding of research by category and graduate student teaching involvement; 3) service: within the college, university and profession; and 4) future goals: plans for teaching, research, and service in the next academic year.

The annual review committee should be appointed initially at the time of hire and should retain at least two continuing members between subsequent years. Members of this committee also serve as mentors to the candidate. Faculty members with a family or comparable relationship, or a close professional relationship that may give rise to a conflict of interest with a candidate, must not serve on the annual review committee of that candidate. Promotion reviews for clinical faculty are described in section VII.B.2.

D. Regular Research Track Faculty
The annual review process for research track faculty is in accordance with Faculty Rule 3335-7-36. A written annual review is required of each research track faculty member. The Office of Academic Affairs requires a scheduled opportunity for a face to face meeting between the dean/designee for all faculty members. Research assistant professors and research associate professors should prepare an annual report in the form of a dossier consistent with that outlined by the Office of Academic Affairs’ Policies and Procedures Handbook. Research full professors should prepare a four-page annual report containing the following components: 1) research: a list of publications over the past four quarters; manuscripts published, accepted, and submitted; funding of research by category and graduate student teaching involvement; 2) service: within the college, university and profession; and 3) future goals: plans for research and service in the next academic year.

The dean appoints an annual review committee of three faculty members to assess the progress of each probationary research faculty member. At least two members of the committee must be tenured faculty, but one may be a research track faculty member of a higher rank than the probationary research faculty member. The committee should be appointed at the time of hire and should retain at least two continuing members between subsequent years. Members of this committee also serve as mentors to the candidate. Faculty members with a family or comparable relationship, or a close professional relationship that may give rise to a conflict of interest with a candidate, must not serve on the annual review committee of that candidate. The review is based primarily on the research activities of the faculty member. In addition, other activities consistent with the mission of the College should be considered in this annual review. In the penultimate year of the probationary period, the annual review committee will serve as a Promotion and Reappointment (P&R) committee (see section VII.B.3).

In the event that the annual review committee or the dean believes that non-renewal of the appointment is appropriate, the case will be directed to the eligible faculty for review and vote. The eligible voting faculty for a ballot considering non-reappointment are all tenured faculty and all research faculty of higher rank.

VI. Merit salary increases and other rewards
As reflected in documents from the Office of Academic Affairs, the Office of Human Resources, and the College of Optometry (Appendix E), compensation decisions should support the recruitment,
performance, and retention of quality faculty. To support that goal, all compensation decisions are based on merit, and are guided by principles of performance, equity, and impact.

**A. Criteria**

Merit increases will be judged on the basis of the faculty member's performance. Excellence should be apparent in the faculty member's contribution to the college, the university, and the local, national, or international community.

Excellent performance in teaching is important to the College's mission and may be rewarded with merit increases. In addition to excellence in classroom, laboratory, or clinical teaching, the following contributions may also be considered: participation in developing new courses; clinical advising of students; advising graduate students; developing resources to improve teaching, and writing textbooks or monographs.

Faculty members are expected to participate in scholarship/research. Therefore, contribution of substantial research/scholarship may also be rewarded with increases in salary. Research may be independent or collaborative and may be of an applied or basic science nature. The excellence of an individual's contribution may be indicated by the quality and number of papers published in scientific or professional journals, the quality of the journals where the work is published, and the frequency with which the professor's work is cited in print by others. Work as editor of a book or professional journal may also be evaluated as a scholarly work. Support of research from sources outside the university, such as government, charitable, business or industrial agencies, may also provide evidence of an active research program. Special research awards, recognition by learned societies or professional organizations, invited addresses at national and international meetings, organization of symposia and conferences, and other related activities may also be considered in the evaluation of research or scholarship.

Outstanding service to the College, the University, and the local, national, or international community is also an important indicator of merit. Examples of service are: service on College and University committees, especially as chair; service to the College by clinical work that does not involve teaching; service on review panels for granting agencies; service to local, state, national or international organizations; extensive work with local civic or other organizations; and giving lectures or other volunteer work for primary and secondary school groups.

It is explicitly recognized that many types of activity may fall into more than one of these three categories. For example, clinical optometric work may be listed as "teaching" (because the faculty member may be instructing students), "research" (because the clinical experience may guide the faculty member's research focus), or "service" (because it is a service to both the public and to the College). The faculty member may decide how each activity is to be listed. It is sometimes appropriate that an activity be listed under each of several categories (for example, supervising graduate students may be listed as both research/scholarship and teaching).

Citizenship and collegiality includes contributing to the academic life of the College through participation in college activities including seminars, invited speaker programs, faculty meetings, committee service, and student activities where faculty members are invited. Faculty members are also expected to demonstrate respect and responsible behavior towards peers, staff, students, patients, and clientele of the college. Citizenship and collegiality is an appropriate consideration for merit.
increases. Moreover, faculty members have the responsibility to articulate their views in a way that is not disruptive to the functioning of the College.

B. Procedures

Salary levels and other compensation are determined by the dean based upon the criteria listed above, and guided by documents referred to in Appendix E. The dean may also choose to consider other written materials, such as letters of recommendation or letters of offer from other institutions. In order to be considered, all of these additional materials must be added to the faculty member's personnel file. In evaluating the appropriateness of merit increases and in determining their levels, the dean considers the appropriateness of the salary level to the individual's overall record especially the record of the last year or several years.

C. Documentation

No merit salary increases will be approved without an annual review of the faculty member's performance in teaching, research/scholarship, and service. The report must contain proper documentation that is sufficient to permit an informed evaluation of the faculty member's performance for annual reviews and for determination of salary levels. Other documentation of the faculty member's achievements must be available to the dean upon request.

Faculty on leave for part or all of an academic year will be judged in the same way as faculty in residence. In particular, the faculty member on leave is required to submit all annual review documentation in the appropriate format. If an individual was away for part of an academic year, then the evaluation of teaching and service will be based on activities that took place during the portion of the year when the professor was in residence.

Documentation of research and scholarship may include preprints, Science Citation Index data, notices of grant awards, conference agendas, and other suitable formats. Performance in teaching may be documented by peer reviews and/or student course evaluations, materials such as scientific reports or manuscripts written by the faculty member's graduate student(s), or curricular materials. Documentation of service may vary widely according to the service activities the faculty member has carried out. They could include lists of college and university committee service, and letters of thanks from organizations outside the college and university.

Much of this documentation will be incorporated into the applicable sections of the core of the dossier. If additional documentation is relevant, but is not appropriate to include in the dossier proper, it may be appended in the form of a cover letter, or in an appendix to the dossier. In addition, relevant materials not included with the dossier may have been inserted in the faculty member’s personnel file.

VII. Promotion and Tenure and Promotion Reviews

Promotion and tenure decisions are based on the performance of faculty members in teaching, research/scholarship, and service. Flexibility is exercised in evaluating the candidate's accomplishments in these areas, because the level of commitment and success in each area will vary among candidates according to their responsibilities. Candidates will be held to a high standard of excellence, particularly in the areas that are central to their responsibilities. Several activities straddle the areas of teaching, research/scholarship, and service and deserve special mention because of their importance to the mission of the College of Optometry. These activities include work in the clinics, consulting, and advising for theses or dissertations, and some fraction of these activities may be listed

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under each of the relevant areas.

Citizenship and collegiality includes contributing to the academic life of the College through participation in College activities including seminars, invited speaker programs, faculty meetings, committee service, and student activities where faculty are invited. Faculty members are also expected to demonstrate respect and responsible behavior towards peers, staff, students, patients, and clientele of the College. Poor college citizenship and collegiality are acceptable reasons for a negative recommendation for promotion or tenure. Moreover, faculty members have the responsibility to articulate their views in a way that is not disruptive to the functioning of the College.

A. Criteria

1. 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. Performance of the faculty member during the probationary period should provide justification to expect that a program of high quality teaching, scholarship, and service relevant to the mission of the College of Optometry will continue.

In most cases, teaching will be an essential component of a candidate's responsibilities at the College of Optometry. Teaching may take place in the classroom, laboratory, or clinics and may include courses or other instruction in the professional curriculum and/or at the graduate level. Criteria for excellence in teaching includes accessibility to students, fairness in grading, coverage of the material prescribed in the course syllabus, presentation of material at an appropriate level, and clearly defining for students what is expected of them in the course. A good teacher should also communicate clearly and effectively, have a thorough knowledge of the subject, be well-organized and intellectually stimulating, and create an atmosphere that encourages curiosity and independent thinking. Teaching awards are also an indicator of excellence in teaching. It is important for the instructor to have a constructive student-teacher relationship, express an interest in teaching and in the course material, and include recent developments in the course material. Other forms of participation in teaching include development of new courses, advising graduate students, developing resources to improve teaching, and writing textbooks or monographs.

Faculty members are expected to conduct an ongoing program of research and scholarship, to be current in their knowledge of recent advances in their field(s) of specialization, and to continue to make contributions to its literature and state of the art. Research may be independent or collaborative and may be applied or basic in nature. Research is to be judged by its impact on the specialized field and by national recognition by learned societies or professional organizations. Evidence of excellence in research and scholarship is normally provided by the number and quality of publications in refereed journals or proceedings, presentation of scientific papers at professional meetings, and the frequency with which the professor's work is cited in print by others. Another indication of this activity is success in obtaining grants and contracts for funded research, including support of research by government, charitable, business or industrial sources. Other pertinent scholarly activities include the development of courses dealing with recent research and conducting advanced seminars or symposia. Special research awards, invited addresses at national and international meetings, organization of symposia and conferences, and other related activities may also be considered in the evaluation of research or scholarship.
Faculty service work is a product of activities performed within The Ohio State University, or through outside professional activities or both. In the first category, each faculty member is expected to carry an appropriate share of committee or other assignments within the College or University. Assigned clinical duties that do not include teaching or research are also considered to be service to the College and to the public. Such work could include administration of a clinic or clinical services provided to the public. As a professional, each faculty member is encouraged to accept responsibility in regional, national and international professional organizations as, for example, elected or appointed offices, editorial services, editorships, or community service.

Consulting by a faculty member is an aspect of his/her service contribution if the consulting contributes to the mission of the College of Optometry. Consultation with other researchers within the University, industry, or with government agencies may form an important component of a faculty member’s research. Consulting performed by the faculty member must be consistent with the missions of the College and the University, and must be in accordance with the University’s Conflict of Interest Policy (http://oaa.osu.edu/handbook/coipolicy.html).

2. Promotion to professor
For promotion to the rank of professor, the candidate must perform in a distinguished manner in teaching, research or scholarship, and service. 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 and internationally; and has demonstrated leadership in service. While the individual seeking promotion should be assessed in relation to assigned responsibilities, exceptional performance in these responsibilities should be required.

3. Promotion of regular clinical track faculty
The major responsibility of clinical faculty is teaching and the evaluation of such faculty must be primarily focus on the performance of this duty. Service contributions to the College and University and to local, state, and national organizations through committee, clinical, administrative, or other activities are also necessary. Clinical faculty members are required to participate in scholarly activities and contribute to the optometric literature.

Candidates for promotion from assistant professor of clinical optometry to associate professor of clinical optometry must have demonstrated excellence in clinical teaching, patient care, service, and scholarship. Candidates for promotion from associate professor of clinical optometry to professor of clinical optometry must have attained national recognition for excellence: in teaching, patient care, public service and/or scholarship.

Excellence in teaching is the most important criterion for advancement in the regular clinical faculty ranks. Faculty on the clinical track may teach in clinics, courses and laboratories. They may also contribute to teaching by designing clinical rotations in a given practice area, by developing self-study materials, and by contributing to special projects, including those which may involve multidisciplinary personnel. Criteria for excellence in teaching are discussed under the section on "Criteria: Promotion to Rank of Associate Professor with Tenure," and the same criteria apply to faculty on the clinical track.
The clinical faculty must demonstrate competence in professional practice. Quality and high standard of practice should be judged by continued success of a program area. Indicators of success may include the impact on standards of practice; contributions to the body of knowledge in the individual's area of practice; and honors, awards, or recognitions by various professional societies at the local, state, national, or international level.

The candidate is expected to demonstrate service to the profession, the public, the community, the College, and University. The following may be considered in evaluating contributions: professional achievements and standing as evidenced by offices(s) held; effectiveness in professional societies; committee or other work at the university and college level; requests for participation in programs of professional societies; requests to act as a consultant; activity and effectiveness as an advisor to students or student organizations; participation in continuing education programs; editorships on professional journals; or public service activities.

Clinical faculty should contribute to the existing body of knowledge by publication in professional journals. Scholarship is to be judged by its impact on the profession and by national recognition by professional organizations. Evidence of excellence in scholarship is provided by publications in journals or proceedings, presentation of papers at professional meetings, and by the reputation of the candidate.

Other pertinent scholarly activities include the development of teaching materials and presentation of continuing education on advanced clinical techniques. Special awards, invited addresses at national and international meetings, organization conferences, and other related activities may also be considered in the evaluation scholarship.

A clinical faculty member, at the assistant or associate professor level, who is not promoted by the end of nine years in rank, will only continue in employment if deemed appropriate by the dean.

4. Promotion of regular research track faculty

The major responsibility of regular research track faculty is research, and the evaluation of such faculty must primarily focus on the performance of this duty. Research track faculty members are required to conduct an ongoing program of research and scholarship, to be current in their knowledge of recent advances in their field(s) of specialization, and to continue to make contributions to its literature and state of the art. An expectation of a research track faculty member is to acquire external sources of support. Research may be independent or collaborative and may be applied or basic in nature. The quality of research is to be judged by its impact on the specialized field and by national recognition by learned societies or professional organizations. Evidence of excellence in research and scholarship is often provided by the number and quality of publications in refereed journals or proceedings, presentation of scientific papers at professional meetings, and the frequency with which work is cited in print by others. Special research awards, invited addresses at national and international meetings, organization of symposia and conferences, and other related activities may also be considered in the evaluation of research or scholarship. Promotion to the rank of professor must be based on convincing evidence that the faculty member has a sustained record of excellence in scholarship that is recognized nationally and internationally.

5. Promotion of auxiliary clinical track faculty
The major responsibility of clinical auxiliary track faculty is hands-on teaching in the clinical services, and the evaluation of such faculty must primarily focus on the performance of this duty. Special attention will be paid to student evaluation of instruction in the clinic and to peer review of clinic instruction in consideration of cases of promotion to Clinical Associate Professor and to Clinical Professor. (See Appendix E for guidelines for peer review of teaching). Further evidence of expertise and clinical stature may be demonstrated by referrals from practitioners both inside and outside the College. While not required, scholarly activity can greatly assist in the case for promotion and may be represented by publications in journals or proceedings, presentations of lectures, papers, or posters at professional meetings, and membership in professional organizations. Other pertinent scholarly activities could relate to teaching, e.g., the development of teaching materials and continuing education-type presentations about clinical techniques and knowledge.

Adjunct faculty are a type of auxiliary faculty. Adjunct titles are used to confer faculty status on individuals who have credentials comparable to regular faculty of equivalent rank, who provide significant, uncompensated service to the instructional and/or research programs of the university and who need a faculty title to perform that service (Rule 3335-5-19). Adjunct appointments are made for the period in which the uncompensated service is provided not to exceed one year; renewal is contingent upon continued significant contributions. Criteria and procedures for the promotion of adjunct faculty members are the same as for promotion of regular faculty.

B. Procedures

All candidates for promotion or tenure are reviewed by the eligible faculty, by the dean of the College of Optometry, and by the Office of Academic Affairs. The dean is responsible for informing the candidate in writing, within ten calendar days, of the provost's final decision (if negative) or recommendation of the Board of Trustees (if positive).

1. Regular tenure track faculty

The review for tenure during the final year of the probationary period is mandatory. The annual review committee functions as the promotion and tenure (P&T) committee. Any tenure track faculty member may ask to be considered for nonmandatory promotion and tenure review by writing to the dean of the College of Optometry and requesting that the process be initiated. Upon receipt of a request for nonmandatory promotion or promotion and tenure review, the dean will conduct a ballot of the eligible faculty. A simple majority of the eligible faculty is required to approve the nonmandatory review; however, the faculty member may not be denied formal review for promotion for more than three consecutive years.

Only the candidate may stop any review for promotion or tenure once external letters of evaluation have been sought. Withdrawal from the mandatory tenure review during the final probationary year means that tenure will not be granted.

Voting-eligible faculty members are all tenured faculty members (1) of equal or higher rank to the proposed rank of the candidate for promotion and tenure, (2) who do not have the title "dean," "associate dean," or "assistant dean," and (3) who do not have close family, personal, or professional ties to the candidate, that might give the appearance of impropriety. The P&T committee shall determine eligibility under criterion (3); in cases of disagreement, the dean shall be the final arbiter of voting eligibility.
The candidate has the primary responsibility for preparing a dossier documenting his or her accomplishments according to the guidelines of the Office of Academic Affairs. The P&T committee is responsible for gathering internal evidence of the quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service from students and peers, as appropriate, within the College of Optometry. The P&T committee is responsible for assuring the accuracy of citations and other aspects of the candidate's dossier.

The P&T committee is responsible for obtaining evaluation letters from external evaluators and from other units at The Ohio State University in which the candidate has an appointment or substantial professional involvement. Letters of evaluation from individuals outside the University are requested from distinguished people in the candidate's field. The names of these individuals may be identified only by the candidate and the P&T committee. No more than one-half of the letters contained in the final dossier may be from persons suggested by the candidate. Those persons may not be close personal friends, research collaborators, former academic advisors or postdoctoral mentors of the candidate. The candidate also is permitted to identify individuals he or she considers to be inappropriate for providing evaluation for reasons that are professional or personal; however, the P&T committee is not obligated to abide by these suggestions but must note inclusion of such individuals in its letter of evaluation of the candidate.

External evaluators must be provided with a copy of the candidate's curriculum vitae. If copies of publications are sent to the evaluators, copies of all peer-reviewed publications since the time of last promotion must be provided. The P&T committee may provide individual outside evaluators with copies or supporting documentation not included in the candidate’s materials if subsequently requested by an evaluator. External reviewers should not evaluate teaching, but rather should only provide a critical assessment of the candidate’s research. Evaluators are to be requested not to recommend specific decisions on the candidate. All solicited letters that are received must be included in the dossier. Unsolicited letters of evaluation or letters of evaluation solicited by other than the P&T committee may not be included in the dossier.

The P&T committee will determine whether additional documents, other than the dossier and letters of evaluation, are necessary and will prepare or procure them. The P&T committee may hold meetings with the candidate to allow him or her to clarify information provided in the dossier.

It is the role of the P&T committee to present the case of the candidate for promotion or tenure to the eligible faculty in a written report that reviews the candidate's strengths and weaknesses in teaching, scholarship, and service. The P&T committee's report may not make an explicit recommendation about the awarding of promotion or tenure.

The candidate’s dossier, supporting documentation, and the written report of the P&T committee will be made available for examination by the voting-eligible faculty for a reasonable period of time. The P&T committee chair shall convene a meeting of at least two-thirds of the voting-eligible faculty, making every effort to arrange the meeting so that all voting-eligible faculty can attend. Each eligible faculty member must examine the documents provided by the committee, and will make all reasonable efforts to attend and participate in the meeting. Participation by teleconference is allowed when the faculty member is away from the institution at the time of the meeting. If a voting-eligible faculty member is unavailable to examine the original documents in person, the chair of the P&T committee will make these documents available to the absent faculty member by facsimile or by other means. If a
voting-eligible faculty member is unable to attend the meeting, even by teleconference, he/she cannot vote on the case. Absentee ballots are not permitted.

The P&T committee supervises the voting procedure using a validated secret ballot. Only “yes” or “no” votes are valid, and at least three-quarters of the voting-eligible faculty (under criteria 1-3 above) must vote. A recommendation in favor of promotion and tenure requires a majority of at least two-thirds of the valid votes cast.

The P&T committee's written assessment of the candidate and the numerical vote of the voting-eligible faculty are forwarded to the dean and included in the candidate's dossier. The dean of the College of Optometry prepares a separate written assessment of the case for inclusion in the dossier. As soon as the faculty report prepared by the P&T committee and the dean's letter have been completed, the candidate will be notified in writing of the availability of these reports and provided a summary statement of the recommendations. The candidate may request a copy of these reports and within ten calendar days of notification of the review’s completion, may provide the dean with written comments on the review for inclusion in the dossier. The dean and the P&T committee may provide written responses to the candidate's comments for inclusion in the dossier, with only one iteration of comments being permitted. The dossier and supporting documents including the outside letters of evaluation solicited by the P&T committee, the reports of the P&T committee and the dean, plus any additional comments from the candidate, the dean, and the P&T committee, are forwarded to the Office of Academic Affairs for final action.

Any associate professor can be considered for promotion to full professor by self-nomination, or on the recommendation of any tenured full professor, assuming the candidate gives his/her consent to be nominated. In the case of self-nomination, the promotion review is initiated on the approval of the dean. The dean may deny approval of promotion review no more than three consecutive years.

When considering promotion of associate professors, the eligible faculty consists only of tenured full professors, excluding those with decanal titles. If the College has fewer than three eligible faculty, additional full professors from a related discipline at The Ohio State University will be selected by the dean. Faculty holding dean titles or administrative office in other Colleges, the executive vice president and provost, and the president are to be excluded from serving. The dean will appoint a promotion committee consisting of three members from among the eligible faculty. The promotion committee conducts a review using the same procedures as are used in a tenure review. This includes review of the dossier and other relevant documentation, solicitation and review of external letters, a meeting of at least three-quarters of the eligible faculty, and a validated secret ballot vote. A two-thirds majority is required for approval. The promotion committee reports the numerical results of this vote with its written evaluation of the candidate to the dean.

2. Regular clinical track faculty
The procedures described below apply to regular clinical faculty with the rank of assistant professor of clinical optometry, associate professor of clinical optometry, and professor of clinical optometry. The procedures, as specified below, cover reviews in the penultimate year for first-term appointments, penultimate year reviews for subsequent terms (i.e., reappointment), and promotion reviews (as applicable).

Consideration for promotion from assistant professor of clinical optometry to associate professor of
clinical optometry is recommended by the annual review committee or the dean. A clinical track faculty member may ask to be considered for promotion review by writing to the dean of the College of Optometry and requesting review during the next academic year.

Consideration for promotion from associate professor of clinical optometry to professor of clinical optometry may be recommended at any time at the request of the candidate, or by the dean, subject to the approval of the candidate.

For penultimate year reviews and other considerations for promotion of clinical faculty, a Promotion and Reappointment (P&R) committee consisting of three eligible faculty will be appointed by the dean. The eligible faculty are all tenured faculty and all non-probationary clinical faculty of equal or higher rank than the candidate. The P&R committee must include at least one member of the tenured faculty who is an optometrist and one member of the regular clinical faculty.

The P&R committee is responsible for gathering any materials deemed relevant to the review, including the dossier submitted by the faculty member. The committee summarizes this material for presentation to and discussion by the eligible faculty.

Outside letters of evaluation may be solicited for candidates who have a research portfolio but are not required since clinical faculty do not have research obligations. If the P&R committee decides to solicit letters of evaluation, they are responsible for obtaining evaluation letters from external evaluators and from other units at The Ohio State University in which the candidate has an appointment or substantial professional involvement. Letters of evaluation from individuals outside the University are expected to be requested from distinguished people in the candidate's field. The names of these individuals may be identified only by the candidate and the P&T committee. No more than one-half of the letters contained in the final dossier may be from persons suggested by the candidate. Those persons may not be close personal friends, research collaborators, former academic advisors or postdoctoral mentors of the candidate. The candidate also is permitted to identify individuals he or she considers to be inappropriate for providing evaluation for reasons that are professional or personal; however, the P&T committee is not obligated to abide by these suggestions but must note inclusion of such individuals in its letter of evaluation of the candidate.

The P&R committee presents the case of the candidate in a written report, to the eligible faculty, reviewing the candidate’s strengths and weaknesses in teaching, scholarship, and service. The P&R committee report must indicate whether the candidate is being considered only for reappointment or reappointment with promotion but should not make explicit recommendations about promotion or reappointment of the candidate. The P&R committee is responsible for conducting a vote using a validated secret ballot of the eligible faculty after the candidate's dossier, including outside letters of evaluation, any supporting documentation, and the written report of the committee has been made available for examination by all voting-eligible faculty for a reasonable time.

A voting-eligible faculty member away from the institution at the time of the vote must be provided the materials relating to the candidate in a timely manner so that he or she may participate remotely. A faculty member who is unable to become knowledgeable about the candidate's qualifications becomes ineligible to vote, and the number of votes needed is adjusted accordingly. It is the task of the chair of the search committee to assure compliance with these rules.

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The voting-eligible faculty consists of tenured faculty, and associate and full professors in the clinical track. If the candidate is being considered for reappointment with promotion, a quorum of three-quarters of the eligible voting faculty is required, and a two-thirds approval is required. Should the candidate fail to receive sufficient votes for the recommendation of promotion, another vote must be conducted to determine if the candidate is to be recommended for reappointment (see Section VII.B.3).

3. Reappointment – Regular Clinical Track Faculty
If the candidate is being considered only for reappointment at the existing rank, a quorum of two-thirds of the eligible voting faculty is required, and a simple majority is required for recommendation of reappointment.

The committee's written assessment, and the faculty recommendation, including the numerical results of the faculty vote, become part of the candidate's dossier. Subsequent to receiving the report of the P&R committee and the results of the faculty vote, the dean prepares a separate assessment of the candidate for inclusion in the candidate's dossier. As soon as the reports from the P&R committee and the dean are completed, the candidate will be notified in writing of the recommendation and the availability of these reports. The candidate may request a copy of these reports and may provide written comments of the review for inclusion with the reports within ten calendar days of notification of the completion of the review. The dean and the P&R committee may provide written responses to the candidate's comments for inclusion in the dossier, with only one iteration of comments being permitted. Then the dossier and supporting documents including: the outside letters of evaluation solicited by the P&R committee, the reports of the committee and the dean, plus any additional comments from the candidate, the dean, and the committee, are filed with the Office of Academic Affairs. Reviews involving promotion or the recommendation not to reappoint must be approved by the Office of Academic Affairs.

4. Research track faculty
Consideration for promotion from research assistant professor to research associate professor and from research associate professor to research professor can be recommended at any time by the dean or the annual review committee. A research track faculty member may ask to be considered for promotion review by writing to the dean and requesting review during the next academic year.

For penultimate year reviews and other considerations for promotion of regular research track faculty, a Promotion and Reappointment (P&R) committee of three will be appointed by the dean. At least two members of the committee must be tenured faculty, but one may be a research track faculty member of a higher rank than the candidate. Rule 3335-7-33 states that procedures for appointment of research track faculty, as described in a unit’s AP&T document, must be approved by the tenure track faculty. That rule does not restrict committee membership or voting rights for appointments to the research track. Rule 3335-7-37 states that research track faculty may not vote on promotion or tenure of tenure track or clinical track faculty, but does not limit their voting rights for research track appointments. The P&R committee is responsible for gathering any materials deemed relevant to the review, including the dossier submitted by the faculty member. The committee summarizes this material for presentation to and discussion by the eligible voting faculty. The eligible voting faculty members are all tenured faculty and research track faculty of higher rank than the candidate (Rule 3335-7-37).
Outside letters of evaluation are required for this review. The P&R committee is responsible for obtaining evaluation letters from external evaluators and from other units at The Ohio State University in which the candidate has an appointment or substantial professional involvement. Letters of evaluation from individuals outside the university are expected to be requested from distinguished people in the candidate's field. The names of these individuals may be identified only by the candidate and the P&T committee. No more than one-half of the letters contained in the final dossier may be from persons suggested by the candidate. Those persons may not be close personal friends, research collaborators, former academic advisors or postdoctoral mentors of the candidate. The candidate also is permitted to identify individuals he or she considers to be inappropriate for providing evaluation for reasons that are professional or personal; however, the P&T committee is not obligated to abide by these suggestions but must note inclusion of such individuals in its letter of evaluation of the candidate.

The P&R committee presents the case of the candidate in a written report to the eligible voting faculty reviewing the candidate’s strengths and weaknesses. The P&R committee report must indicate whether the candidate is being considered only for reappointment or reappointment with promotion. The committee's report shall not make explicit recommendations about promotion or reappointment of the candidate. The P&R committee is responsible for conducting a vote using a validated secret ballot of the eligible faculty after the candidate's dossier, including outside letters of evaluation, any supporting documentation, and the written report of the committee have been made available for examination by all faculty for a reasonable time and after a meeting of at least two-thirds of the eligible faculty with the P&R committee has been held to discuss the candidate's case.

An eligible faculty member away from the institution at the time of the vote must be provided the materials relating to the candidate in a timely manner so that he or she may participate remotely. A faculty member who is unable to become knowledgeable about the candidate's qualifications becomes ineligible to vote, and the number of votes needed is adjusted accordingly. It is the task of the chair of the search committee to assure compliance with these rules.

If the candidate is being considered for reappointment with promotion, approval requires a quorum of three-quarters of the eligible faculty, and a two-thirds majority vote. Should the candidate fail to receive sufficient votes for the recommendation of promotion, another vote must be conducted to determine if the candidate is to be recommended for reappointment. A simple majority of the voting eligible faculty is required for recommendation of reappointment.

5. Reappointment – Regular Research Track Faculty
If the candidate is being considered only for reappointment at the existing rank, a simple majority of the eligible faculty is required for recommendation of reappointment.

The committee's written assessment and the faculty recommendation, including the numerical results of the faculty vote, become part of the candidate's dossier. Subsequent to receiving the report of the P&R committee and the results of the faculty vote, the dean prepares a separate assessment of the candidate for inclusion in the candidate’s dossier. As soon as the reports from the P&R committee and the dean are completed, the candidate will be notified in writing of the recommendation and the availability of these reports. The candidate may request a copy of these reports and may provide written comments of the review for inclusion with the reports within ten calendar days of notification of the completion of the review. The dean and the P&R committee may provide written responses to
the candidate's comments for inclusion in the dossier, with only one iteration of comments being permitted. The dossier and supporting documents including: the outside letters of evaluation solicited by the P&RC committee, the reports of the committee and the dean, plus any additional comments from the candidate, the dean, and the committee, are filed with the Office of Academic Affairs. Reviews involving promotion must be approved by the Office of Academic Affairs. The dean’s decision is final with respect to reappointment, non-reappointment, and denial of promotion.

6. Auxiliary faculty

Appointments of auxiliary faculty are for a one-year term and must be renewed annually. Full-time auxiliary faculty members primarily involved with instruction within the College and its clinics (i.e. full-time internal auxiliary) must submit a dossier to the dean for the purposes of assessing their reappointment. Auxiliary faculty members at external sites must submit a current curriculum vitae to the dean for the purpose of assessing their reappointment.

Consideration for promotion requires that the auxiliary faculty member prepare a dossier consistent with the guidelines from the Office of Academic Affairs. The promotion of internal auxiliary clinical faculty follows parallel procedures to those described for regular clinical track faculty, including peer review of clinical teaching (Appendix E).

The promotion of visiting and adjunct auxiliary faculty follows parallel procedures to those described for regular tenure track faculty. The eligible faculty members for voting in these procedures are all tenure track and clinical track faculty, excluding the dean.

Part-time (including no-salary) auxiliary clinical faculty members are reappointed annually on the basis of the recommendation of the dean; however, any eligible faculty member may, upon written request to the dean, require a vote of the eligible faculty to approve the reappointment of an auxiliary faculty member. A quorum of three-quarters of the eligible voting faculty is required, and a simple majority is required for approval of reappointment. Promotion of part-time auxiliary clinical faculty is initiated by the dean. A quorum of three-quarters of the eligible voting faculty is required, and is subject to a two-thirds approval of the eligible faculty.

The following procedures apply to full-time auxiliary clinical faculty with the ranks of clinical instructor of optometry, clinical assistant professor of optometry, clinical associate professor of optometry, and clinical professor of optometry. An ad hoc review committee, having a composition identical to that specified for the annual reviews of probationary clinical track faculty, is appointed by the dean to review the dossiers of all full-time auxiliary faculty members. Annually, this committee recommends to the dean: reappointment, reappointment with promotion, or non-reappointment of each auxiliary faculty member. Recommendations for promotion with reappointment require a quorum of three-quarters of the voting-eligible faculty, and a two-thirds majority is required for approval. Recommendations for or against reappointment require a simple majority approval of the eligible faculty.

A request for consideration for promotion also may be initiated by the dean, the auxiliary faculty member or the annual review committee. There is no mandatory time period for consideration for promotion or limitation of time in rank.

All recommendations for promotion are subject to approval by the Office of Academic Affairs.
7. Courtesy appointments
Courtesy appointments in the College of Optometry are for five-year terms, and must be renewed annually. The dean reviews all courtesy appointments annually to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

C. Documentation
The core dossier guidelines provided by the Office of Academic Affairs serves as a basic standard for documentation; however other forms of documentation will be appropriately weighted according to the responsibilities of the candidate. Documentation of teaching, research and scholarship, and service is necessary for evaluating the candidate's accomplishments in these areas. Because these areas are not mutually exclusive, documentation provided for items listed in one area of performance might be considered a reflection of performance in another area.

1. Teaching
Documentation of teaching must be provided through student evaluations and the candidate's self-evaluation as well as optional additional forms of student evaluation. Mandatory student evaluations of classroom courses must utilize the officially designated teaching evaluation instrument of the College of Optometry, Office of Student Affairs and should be available for every regular classroom course taught. Evaluation of clinical teaching utilizes a separate College of Optometry evaluation form. Efforts should be made to insure that the largest possible number of students complete the questionnaire and that they do so conscientiously. These evaluations should be handed out and collected by staff of the Office of Student Affairs or by a class officer, and efforts should be made to obtain such evaluations from the largest possible number of enrolled students.

Optional additional methods of student evaluation may include exit interviews of graduating seniors, surveys of alumni, or college-solicited anonymous evaluations by former professional or graduate students; however, “testimonial” letters from former students may not be solicited directly by the candidate.

Peer evaluation for the purpose of assessing a probationary faculty member’s teaching is the responsibility of the faculty member’s annual review committee and is to be conducted according to the peer review procedures of the College of Optometry (Appendix D). Peer reviewers should utilize the College of Optometry’s Peer Review Classroom Teaching Worksheet and must provide a written summary appraisal of the candidate’s teaching. This appraisal becomes part of the faculty member’s dossier for assessment by the promotion and tenure committee.

The candidate's self-evaluation of teaching should include a statement of the candidate's teaching goals. It should also include a self-assessment of how well the goals have been achieved plus a description of the candidate's approach to teaching and specific strategies for improvement (past, present, and planned), as described in the OAA Handbook, Section 1.4.3.4 (page 43).

Other forms of documentation of excellence in teaching could include assessment of the success of the candidate's former professional and graduate students; the extent to which pedagogical materials developed by the candidate have been adopted by other faculty here and at other institutions; the
extent to which the candidate is invited to provide expertise on teaching; and teaching awards. Development and authoring of textbooks, course notes, and other teaching aids, courses and curricula; authoring publications on teaching and optometric education; documentation of course load, number and level of students, and type or courses; and letters solicited by the review committee can also be used as documentation of abilities in teaching.

2. Scholarship
Documentation of research and scholarship can include copies of publications from scientific or professional journals; Science Citation Index data demonstrating the frequency with which the candidate's work is cited in print by others and the prominence of the journal where the work is published; and notices of grant awards, indicating the amount and frequency of support by government, charitable, business or industrial agencies. Special research awards, recognition by learned societies or professional organizations, and other forms of recognition for research and scholarship should be documented by letters, copies of award documents, and other suitable formats.

3. Service
Efforts should also be made to identify indicators of the quality as well as the quantity of service roles. Documentation of such service may vary widely, but must be provided in writing in order to be considered as a basis for promotion or tenure. The quality of departmental service will generally be known and will include administrative work in clinics and on committees. Indicators of the quality of service beyond the department and external to the University would include election or appointment to leadership roles, other evidence that the candidate's services are sought after rather than volunteered, and awards. Documentation may reflect participation in professional societies, editorial work, college or other committee involvement, and other service activities. Depending on the nature of a candidate's service activities, it may be appropriate to obtain written external evaluations from those who are in a position to evaluate specific contributions.

VIII. Appeals
A faculty member may appeal a negative promotion or tenure decision informally to the dean. The faculty member must notify the dean in writing detailing his or her basis for appeal within two weeks of the date of informal notification. If there has been a negative decision and the dean believes that improper procedures were followed, or pertinent information was not available to the faculty at the time of their decision, s/he may request the College review process be repeated. A written report of the results of this faculty review and the dean's review will be forwarded promptly to the Office of Academic Affairs.

The dean may deny the faculty member's informal appeal to the College by providing a written response to the candidate. The faculty member may appeal that negative decision, after formal notification of denial of tenure or promotion by the Office of Academic Affairs. Rules describing appeal criteria and procedures are contained in 3335-5-05 and 3335-6-05.

IX. Seventh-year Reviews
If the provost approves a petition under Faculty Rule 3335-6-05 for a seventh-year review, the evaluation procedures to be followed are the same as for the sixth-year review. The membership of the Promotion and Tenure committee need not be identical to the sixth-year review. External letters of evaluation must be obtained from different reviewers.
Appendix A
Links to University Rules and Guidelines

Tenure Track Faculty

Chapter 3335-6
Tenure Track faculty appointments, reappointments, promotion and tenure

3335-6-01 General considerations.
3335-6-02 Criteria for appointment, reappointment, and promotion and tenure of tenure-track faculty.
3335-6-03 Probationary service, and duration of appointments for tenure-track faculty.
3335-6-04 Promotion and tenure review procedures for tenure-track faculty.
3335-6-05 Criteria and procedures for appeals of negative promotion and tenure decisions and appointment nonrenewals and for seventh year reviews for tenure-track faculty.
3335-6-06 Tenure initiating unit.
3335-6-07 Campus assignment.
3335-6-08 Standards of notice.
3335-6-09 Exceptions.

Clinical Track Faculty

Chapter 3335-7
Rules of the university faculty concerning regular clinical track faculty appointment, reappointment and nonreappointment, and promotion

3335-7-01 Definition.
3335-7-02 Titles.
3335-7-03 Appointment cap.
3335-7-04 Proposals and approval process.
3335-7-05 Criteria for appointment, for reappointment and nonreappointment, and for promotion.
3335-7-06 Procedures for appointment.
3335-7-07 Term of appointment.
3335-7-08 Annual review, reappointment/nonreappointment, and promotion review procedures.
3335-7-09 Transfers from the tenure-track to the regular clinical track.
3335-7-10 Transfers from the regular clinical faculty track to the tenure-track.
Research Track Faculty

Chapter 3335-7-30 through 3335-7-40
Rules of the university faculty concerning regular research track faculty appointment and nonreappointment, and promotion.

3335-7-30 Definition.
3335-7-31 Titles.
3335-7-32 Criteria for appointment, for reappointment and nonreappointment, and for promotion.
3335-7-33 Procedures for appointment.
3335-7-34 Duties and responsibilities.
3335-7-35 Term of appointment.
3335-7-36 Annual review, reappointment/non-reappointment, and promotion review procedures.
3335-7-37 Governance rights.
3335-7-38 Transfers from the tenure track to the regular research track.
3335-7-39 Transfers from the regular research track to the tenure-track.
3335-7-40 Oversight.

Auxiliary Faculty

Definitions of auxiliary faculty: Faculty Rule 3335-5-19, Part (D)
Promotion procedures for auxiliary faculty:
http://oaa.osu.edu/handbook/xi_ptannual2006.php

Office of Academic Affairs

Appointments, Promotion & Tenure Handbook:
http://oaa.osu.edu/OAAP_PHandbook.php

Approved by Office of Academic Affairs:
August 26, 2009
Appendix B

Faculty Track Descriptions

This guideline is intended to assist College of Optometry faculty, faculty search committees, promotion and tenure committees, faculty candidates, and administrators in identifying the appropriate emphasis on teaching, scholarship, and service activities for various faculty tracks. All faculty tracks are valued and are vital to the mission of the College of Optometry. Collaboration and respect for each faculty members’ strengths are core values of the College. The words “required,” “expected,” “allowed,” “allowed but low priority,” and “prohibited” are used as a continuum in order of importance and were arrived at by faculty consensus. These descriptions are not intended to stifle growth or collegiality. For example even though an activity may be “allowed but low priority,” it is, by definition, not prohibited and may, in some exceptional cases, be necessary, and faculty members should receive appropriate credit for such activities under these circumstances. Some activities are prohibited by University rules for certain tracks.

### All full-time appointments.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Tenure</th>
<th>Clinical</th>
<th>Full-time Clinical Auxiliary</th>
<th>Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Didactic teaching (professional program)</td>
<td>Expected</td>
<td>Expected</td>
<td>Allowed but low priority</td>
<td>Prohibited*</td>
</tr>
<tr>
<td>Clinical attending</td>
<td>Allowed</td>
<td>Required</td>
<td>Required</td>
<td>Prohibited*</td>
</tr>
<tr>
<td>Clinic chief service</td>
<td>Allowed but low Priority</td>
<td>Allowed</td>
<td>Allowed</td>
<td>Prohibited</td>
</tr>
<tr>
<td>Scholarly Activity</td>
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<td>Required</td>
<td>Allowed but low priority</td>
<td>Required</td>
</tr>
<tr>
<td>Funded research</td>
<td>Expected</td>
<td>Allowed^</td>
<td>Allowed but low priority</td>
<td>Required</td>
</tr>
<tr>
<td>Release time funding</td>
<td>Expected</td>
<td>Allowed</td>
<td>Allowed but low priority</td>
<td>Required</td>
</tr>
<tr>
<td>College service (committee membership)</td>
<td>Expected</td>
<td>Expected</td>
<td>Allowed but low priority</td>
<td>Allowed</td>
</tr>
<tr>
<td>College service (committee chairmanship)</td>
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<td>Allowed but low priority</td>
<td>Allowed but low priority</td>
</tr>
<tr>
<td>University Service (governance)</td>
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<td>Prohibited**</td>
<td>Prohibited**</td>
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<tr>
<td>Laboratory Teaching</td>
<td>Allowed but low Priority</td>
<td>Allowed but low priority</td>
<td>Allowed but low priority</td>
<td>Prohibited</td>
</tr>
<tr>
<td>Graduate faculty membership</td>
<td>Required</td>
<td>Allowed but low priority</td>
<td>Prohibited</td>
<td>Expected</td>
</tr>
<tr>
<td>Graduate student supervision</td>
<td>Expected</td>
<td>Allowed but low priority</td>
<td>Prohibited</td>
<td>Allowed</td>
</tr>
<tr>
<td>Graduate didactic teaching</td>
<td>Expected</td>
<td>Allowed but low priority</td>
<td>Prohibited*</td>
<td>Prohibited*</td>
</tr>
</tbody>
</table>

*Permitted only on rare occasions, i.e., guest lectures, clinic fill-in, etc.

^Participation in research, but not necessarily as a Principal Investigator

**Other than University service specific to faculty governance (e.g., Senate membership, service on Senate committees), other tracks may be permitted to serve on University-level committees; such service is, however, time consuming, and would be undertaken only after consultation with the dean.
<table>
<thead>
<tr>
<th>Faculty Position</th>
<th>Eligible Voting Faculty</th>
<th>Quorum required for voting</th>
<th>Majority of ‘yes’ and ‘no’ votes</th>
<th>Committee composition</th>
<th># of members</th>
<th>Refer to Section:</th>
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</thead>
<tbody>
<tr>
<td><strong>Appointments</strong></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Tenure track</td>
<td>Tenured of equal or higher rank</td>
<td>2/3 of eligible voting faculty</td>
<td>simple</td>
<td>Tenured¹,²</td>
<td>3</td>
<td>IV.B.1</td>
</tr>
<tr>
<td>Clinical track</td>
<td>Tenured, and non-probationary clinical track of equal or higher rank</td>
<td>2/3 of eligible voting faculty</td>
<td>simple</td>
<td>Assoc TT or CT, at least 2 optometrists</td>
<td>3</td>
<td>IV.B.2</td>
</tr>
<tr>
<td>Research track</td>
<td>Tenured, or non-probationary research track of equal or higher rank</td>
<td>2/3 of eligible voting faculty</td>
<td>simple</td>
<td>Tenured and Research tracks</td>
<td>3</td>
<td>IV.B.3</td>
</tr>
<tr>
<td>Auxiliary clinical, full-time</td>
<td>Regular tenure track and clinical track faculty</td>
<td>2/3 of eligible voting faculty</td>
<td>simple</td>
<td>Tenure and clinical tracks</td>
<td>2</td>
<td>IV.B.4</td>
</tr>
<tr>
<td>Auxiliary adjunct and visiting</td>
<td>Tenure, of equal or higher rank</td>
<td>2/3 of eligible voting faculty</td>
<td>simple</td>
<td>Tenure track</td>
<td>3</td>
<td>IV.B.4</td>
</tr>
<tr>
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<tr>
<td>Probationary tenure track</td>
<td>Tenured</td>
<td>2/3 for renewal³</td>
<td>Tenured¹,²</td>
<td>3</td>
<td>V.A</td>
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<tr>
<td>4th year review tenure track</td>
<td>Tenured</td>
<td>2/3 for renewal</td>
<td>Tenured¹,²</td>
<td>3</td>
<td>V.A.1</td>
<td></td>
</tr>
<tr>
<td>Tenured faculty</td>
<td></td>
<td>2/3 for renewal</td>
<td>Tenured³</td>
<td>3</td>
<td>V.B</td>
<td></td>
</tr>
<tr>
<td>Probationary clinical track</td>
<td>Tenured and clinical associate and above</td>
<td>2/3 for renewal³</td>
<td>Tenured¹,²</td>
<td>3</td>
<td>V.C</td>
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<tr>
<td>4th year review clinical track</td>
<td>Tenured and assoc and full prof clinical track of equal or higher rank</td>
<td>2/3 for reappt w/promotion, simple for reappt only</td>
<td>Tenured², at least 1 clinical track of equal or higher rank</td>
<td>3</td>
<td>V.C VII.B.2 VII.B.3</td>
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<td>Non-probationary clinical track</td>
<td>Tenured and clinical associate and above</td>
<td>2/3 for reappt w/promotion, simple for reappt only</td>
<td>Tenured², at least 1 clinical track of equal or higher rank</td>
<td>3</td>
<td>V.C VII.B.3</td>
<td></td>
</tr>
</tbody>
</table>

¹ Faculty holding dean titles are excluded, except as otherwise noted in this document
² Committee must include at least one tenured optometrist; "optometrist" defined as a graduate of a recognized program in optometry.
³ Vote only if annual review committee recommends non-renewal

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August 26, 2009
<table>
<thead>
<tr>
<th>Research track</th>
<th>Tenured or research track of higher rank</th>
<th>2/3 of eligible voting faculty</th>
<th>2/3 for reappointment with promotion, simple for reappointment only</th>
<th>At least two tenured. Research track of higher rank may serve</th>
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<td>Full professors</td>
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<td>Full professors</td>
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<tr>
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<td>Tenured², 1 regular clinical</td>
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<tr>
<td></td>
<td>Auxiliary clinical, full-time</td>
<td>All tenure track and clinical track faculty</td>
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<tr>
<td></td>
<td>Auxiliary adjunct and visiting</td>
<td>All tenure track and clinical track faculty</td>
<td>3/4 of eligible voting faculty</td>
<td>Tenured²</td>
</tr>
<tr>
<td></td>
<td>Research track</td>
<td>Tenured of higher rank and above or research track of higher rank</td>
<td>3/4 of eligible voting faculty</td>
<td>At least two tenured of higher rank. Research of higher rank can serve</td>
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<table>
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<th>Part-time auxiliary</th>
<th>Recommendation of the dean (yearly)</th>
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<tr>
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<td>Tenure track², 1 regular clinical</td>
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</table>

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August 26, 2009
Appendix D

GUIDELINES FOR PEER REVIEW OF TEACHING

Peer review of instruction is required for both the probationary and non-probationary faculty. Peer review of teaching should occur at least every five years, and within two years prior to reappointment or promotion. For faculty who are committed to teaching excellence, peer review of teaching is an important component of professional development and all regular faculty members are therefore required to participate in peer reviews of teaching regardless of their status relative to institutional reviews.

Required reviews of teaching

For peer review, the faculty member must be observed in class at least two times by each of two different reviewers. Observations may be spread out over the academic year with observations in different courses encouraged but not required.

The current College of Optometry, Peer Review of Classroom Teaching Worksheet must be utilized to review course materials and classroom instruction using a five point rating scale to assess each of the components: Peer reviewers should receive instruction in peer review techniques using a college developed or approved training program.

Selection of peer reviewers

Peer reviewers for probationary faculty members shall be selected from the annual review committee by the chair of the committee. In the case of non-probationary faculty, peer reviewers will be selected by the dean in consultation with the faculty member. Whenever possible peer reviewers who are familiar with the faculty member’s field of instruction and/or pedagogies are to be selected. Deans are permitted to serve as peer reviewers. The time period between peer review observations of non-probationary faculty is at the discretion of the dean based upon his/her judgment and the recommendations (if any) of previous peer reviews.

Planning for Peer Review

The faculty member should provide the reviewer with copies of all course syllabi, course handouts, sample examinations, and other relevant course materials. The peer observer should meet with the professor to be observed before the class visit. The goals of this meeting are to discuss review issues and ensure that the peer reviewer has a clear understanding of the faculty...
member's course objectives and methodologies. The faculty member and the observer should discuss the syllabus and other handout materials provided.

**The Classroom Observation Review Process**

During the class visit, the observer should rate the instructor on a five point scale using the college’s *Peer Review of Classroom Teaching Worksheet* that addresses teaching behaviors. Observers should not participate in class or interact with class members during their class visits.

**Reporting on peer review**

After the class visit, the peer observer should submit a written summary of his/her observations to the faculty member and the annual review committee, or the dean in the case of non-probationary faculty.

When there is disagreement over the observer's findings, the faculty member may request a meeting with the observer and the dean or chair of the evaluation committee. If this meeting does not resolve these disagreements, the faculty member may:

- Provide a written response to the review that is attached to the observer's summary report, and/or

Request an additional review by a new peer observer.
Appendix E

GUIDELINES FOR PEER REVIEW OF CLINICAL TEACHING BY FULL-TIME AUXILIARY FACULTY

Peer review of instruction is required for full-time (≥ 50% full-time equivalent [FTE]) auxiliary faculty. Peer review of teaching should occur at least every five years, and prior to promotion. For full-time auxiliary faculty who are committed to clinical teaching excellence, peer review of clinical teaching is an important component of professional development and all faculty members are therefore required to participate in peer reviews of teaching regardless of their status relative to institutional reviews.

Required Reviews of Teaching

For peer review, the auxiliary faculty member must be observed in a clinical setting for at least two half-day sessions by each of two different reviewers. Observations may be spread out over the academic year with observations in different clinics encouraged but not required.

Selection of Peer Reviewers

Peer reviewers for full-time auxiliary faculty members will be selected by the Associate Dean in consultation with the faculty member being reviewed. Whenever possible peer reviewers who are familiar with the faculty member’s area(s) of interest are to be selected. Deans are permitted to serve as peer reviewers. The initial timing of and time period between peer review observations of non-probationary faculty is at the discretion of the Associate Dean based upon his/her judgment and the recommendations (if any) of previous peer reviews.

Planning for Peer Review

The faculty member should provide the reviewer with copies of any materials used regularly in clinical teaching. The peer reviewers and the faculty member being reviewed should meet before the first clinic visit. The goals of this meeting are to discuss review issues and ensure that the peer reviewer has a clear understanding of the faculty member's teaching objectives and methodologies. The faculty member and the peer reviewer should discuss any materials provided.
The Clinic Observation Review Process

During the clinic visit, the observer should consider such issues as: identification of expectations of student interns and learning objectives; the faculty member’s clinical knowledge; teaching of communication skills; the style and effectiveness of the faculty member’s feedback to student interns; and teaching of critical thinking skills.

Observers should not participate in clinic or interact with students or patients during their clinic visits.

Reporting on Peer Review

After the clinic visit, the peer observers should submit a written summary of their observations to the faculty member and the Associate Dean.

When there is disagreement over the observer's findings, the faculty member may request a meeting with the Associate Dean to discuss the peer review process and outcome. If this meeting does not resolve these disagreements, the faculty member may provide a written response to the review that is attached to the peer reviewers’ summary report.
Appendix F

COMPENSATION PRINCIPLES

Office of Academic Affairs

Office of Human Resources
http://hr.osu.edu/comp/compphilosophy.pdf

College of Optometry
Find current “College Compensation Philosophy FYxx.doc” document in:
T:\COLLEGE DOCUMENTS