

**APPOINTMENT, PROMOTION AND TENURE  
CRITERIA AND PROCEDURES**

**DEPARTMENT OF BIOMEDICAL EDUCATION AND ANATOMY  
COLLEGE OF MEDICINE  
THE OHIO STATE UNIVERSITY**

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## I. Preamble

This document describes the criteria and procedures regarding appointment, promotion and tenure for faculty in the Department of Biomedical Education and Anatomy in the College of Medicine of The Ohio State University. It is a supplement to the Rules of the University Faculty, the Office of Academic Affairs procedural guidelines for promotion and tenure reviews, and any additional policies established by the college and university including those rules established by The Ohio State University Board of Trustees entitled “Rules of the University Faculty as of June 6, 2014” (<http://trustees.osu.edu/university/facultyrules>). In particular Chapter 3335-6 describes the rules for promotion and tenure considerations for tenure-track faculty, and Chapter 3335-7 describes the rules for tenure and promotion of clinical and research faculty. Guidance for faculty and access to additional rules, policies and procedures for appointments and promotion of faculty is provided by the Office of Academic Affairs.

Faculty candidates applying for promotion and tenure, faculty members of the Committee of Eligible Faculty of the Department, and administrators participating in the process are each responsible for familiarizing themselves with and following those rules and policies. Should those rules and policies change, the Department shall follow those new rules and policies until such time as it can update this document to reflect the changes. In addition, this document must be reviewed, and either reaffirmed or revised, at least every four years on appointment or reappointment of the Department Chair. In some cases, faculty rules are directly quoted in this document. In other cases the rules are summarized. A link to the relevant rule is also provided and in case of a discrepancy, the current university rule is applied.

This document is approved by the Faculty and Chair of the Department of Biomedical Education and Anatomy, the Dean of the College of Medicine and the Executive and Vice President and Provost of The Ohio State University. It sets forth the Department's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments, promotion, tenure, and rewards, including salary increases. In the remainder of this document, the officials above are referred to informally as the college and university. When Faculty Rules are cited, the quotations have been modified using “department” in place of “tenure initiating unit.”

Promotion to a higher academic rank and the granting of tenure are two ways in which the university recognizes the merit of outstanding contributions made by a

faculty member. Promotion and tenure are based solely on merit. Each faculty member should be systematically involved in the promotion and tenure process from the first day of their appointment in the Department, and this involvement needs to continue after promotion to a new level. Faculty members need to make themselves aware of the standards by which their performance will be evaluated and the evaluation processes in which they will be involved. Decisions about work priorities and time allocation to teaching, research and other scholarly activity and service, should be consciously made, with the counsel of the Department Chair and/or appointed faculty mentor.

Within the context of its mission, the department sets the goal of continuously improving the quality of its endeavors. The department, additionally, assures that its policy on “Faculty Duties and Responsibilities,” included in its “Pattern of Administration,” is consistent with the mission and its criteria for appointment, promotion, tenure, merit salary increases, and other rewards.

## **II. Department Vision and Mission**

### **A. Vision Statement**

The vision of the Department of Biomedical Education and Anatomy is to become a local, regional, national and international leader in the education and training of biomedical professionals using highly integrated and innovative evidence-based approaches.

### **B. Mission Statement.**

The mission of the Department of Biomedical Education and Anatomy is to advance basic and clinical medical sciences education through innovative and integrated curricula and scholarship, as well as to advance and promote basic and clinical medical science faculty in the domains of excellence in teaching and scholarship.

Scholarship is defined as the achievement of local, regional, national and international recognition in the faculty member’s area of expertise including, but not limited to, education, basic science, clinical and translational research.

Through this mission, faculty in the department will strive to create and enhance innovative programs, curricula, and teaching/learning methods that facilitate the evidence-based education of the biomedical workforce.

The department will strive for excellence in the education of undergraduate, graduate, professional, and post-graduate students (i.e., post-doctoral, resident and fellow) as well as faculty and community professionals. Dedication to the promotion of scholarship is the foundational core of the department.

### **III. Definitions**

#### **A. Committee of Eligible Faculty**

The Committee of Eligible Faculty comprises all the Department's eligible faculty and is a standing committee of the college. The composition of the Committee of Eligible Faculty will include all faculty at the rank of associate professor or above as well as non-probationary educational and research faculty. The chair of the Committee of Eligible Faculty shall be a tenured faculty member recommended by the members of the committee and appointed by the chair of the department. The chair of the committee serves a two-year term. In the second year, a chair-elect is selected, whose 2-year term will begin at the end of the current chair's term. Faculty Rules exclude the department chair from being a voting member of the committee.

The Committee of Eligible Faculty is charged with providing the department chair with input concerning the promotion and tenure of departmental faculty, review and recommendations for and associated faculty appointments, and the annual review of non-tenured faculty members. The committee will also promote awareness of promotion and tenure procedures and standards among departmental faculty, especially junior faculty, and offer counsel on such matters as requested.

Decisions made by the Committee of Eligible Faculty with regards to appointments, evaluation of probationary faculty, and promotions can only be made by those faculty members eligible to consider the matter based upon the candidate's current academic rank. An individual faculty member can only evaluate those at or below their current academic rank. Faculty responsibilities are determined by their current academic track: Tenured faculty members review faculty in any track, clinical faculty review those in the clinical or research tracks, and research faculty can only review those in the research track. In the case of a new appointment to the faculty, a special exception applies, as outlined in section 2.4.1 of the OAA guidelines (Vol. I, pg. 23):

*"For faculty recommendations on initial appointment, the Committee of Eligible Faculty includes assistant professors. A second vote is taken when an*

*appointment at senior rank of the faculty members eligible to vote on the rank is under consideration.”*

The eligible faculty for appointment reviews of tenure-track faculty consists of all tenure-track faculty whose tenure resides in the department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, promotion and tenure, and promotion reviews of tenure-track faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

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

For example, for a faculty member seeking promotion to Professor from Associate Professor, only the Professors in the department are eligible to vote.

The eligible faculty for appointment reviews of educational (clinical) faculty consists of all tenure-track faculty whose tenure resides in the department and all clinical faculty whose primary appointment is in the department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion of clinical faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the department and all non-probationary clinical faculty of equal rank to or higher than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

The eligible faculty for appointment reviews of research faculty consists of all tenure-track faculty whose tenure resides in the department, all clinical faculty whose primary appointment is in the department, and all research faculty whose

primary appointment is in the department. For an appointment at senior rank, a second vote is taken by the faculty members eligible to vote on the rank under consideration.

The eligible faculty for senior rank of new appointments, reappointment, contract renewal, and promotion reviews of research faculty consists of all tenured faculty of equal rank to or higher than the candidate whose tenure resides in the department, all non-probationary clinical faculty of equal rank to or higher than the candidate whose primary appointment is in the department, and all non-probationary research faculty of equal rank to or higher than the candidate whose primary appointment is in the department excluding the department chair, the dean and assistant and associate deans of the college, the executive vice president and provost, and the president.

### **1. Conflict of Interest**

Members of the eligible faculty with a conflict of interest must recuse themselves from the review process. Faculty with a familial or comparable relationship with a candidate must not participate in a review of that candidate. In addition, a close professional relationship may give rise to a conflict of interest, such as when a faculty member is Co-PI/Co-I on a grant, contract or funding application, co-author on a significant portion of the candidate's publications, has served as the candidate's dissertation advisor or is dependent in some way on the candidate's professional activities.

### **2. Minimum Composition**

A minimum of three faculty members must be involved in any vote for the Committee of Eligible Faculty. In the event the department does not have three eligible faculty members who can undertake the review, the department chair, after consulting the dean, will appoint a faculty member(s) from another TIU within the college to participate in the review and vote.

### **3. Quorum**

All meetings of the Committee of Eligible Faculty must be face-to-face. The quorum required to discuss and vote on all personnel decision is two-thirds of the eligible faculty not on an approved leave of absence. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining

quorum only, if the department chair has approved an off-campus special assignment. Faculty members who recuse themselves because of a conflict of interest are not counted when determining quorum.

#### **4. Recommendations from the Committee of Eligible Faculty**

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

#### **5. Appointment**

A positive recommendation from the Committee of Eligible Faculty for appointment is secured only when two-thirds of the eligible faculty votes are recorded as positive.

#### **6. Reappointment, Promotion and Tenure, Promotion, and Contract Renewal**

A positive recommendation from the Committee of Eligible Faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when a simple majority of the eligible faculty votes are recorded as positive.

### **IV. Appointments**

The Department of Biomedical Education and Anatomy has tenure-track, education (clinical), research and associated faculty as well as courtesy appointments. All senior faculty appointments at the level of Associate Professor or Professor in all of the departmental tracks require approval of the college and university. New senior faculty appointments require an external review of the candidate.

For the purpose of this document, “scholarship” is defined as the achievement of local, regional, national and international recognition in the faculty member’s area of expertise including, but not limited to, educational, basic science, clinical and translational research.

#### **A. Criteria**

The Department of Biomedical Education and Anatomy is committed to appointing faculty that enhance the quality of the department and its stated mission. Important



considerations include the individual's record to date in teaching, scholarship and service. In addition, the candidate must have the potential for professional growth in each of these areas as well as the potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the department.

For appointment, the above criteria will be assessed using the candidate's previous academic record. No offer will be extended in the event that the search process does not yield one or more candidates who will enhance the quality of the department and its stated mission. In such a case, the search will either be cancelled or continued, as appropriate to the circumstances and agreed upon by consensus of the designated search committee and its chair as well as department faculty and its associated administration.

### **1. Tenure Track Faculty Appointment Criteria by Rank**

The Department of Biomedical Education and Anatomy, as part of a distinguished comprehensive medical center and university, is committed to the appointment of Tenure Track faculty who will make significant contributions to the body of knowledge in their field of expertise through scholarship in educational, basic science, clinical and/or translational research. Candidates are expected to have local, regional, national and/or international recognition for their scholarship commensurate with their current academic rank or position. In addition, the candidate will be expected to be dedicated to the teaching-learning process as well as professional, university, and community service.

#### **a. Appointment Criteria Tenure Track Instructor**

Appointment to the rank of Tenure Track Instructor will follow the guidelines in Faculty Rule 3335-6-03 that state:

“An appointment to the rank of Tenure Track Instructor is always probationary and may not exceed three years. A Tenure Track Instructor must be approved for promotion to Tenure Track Assistant Professor by the beginning of the third year of appointment or the appointment will not be renewed beyond the end of the third year. When a Tenure Track Instructor is promoted to the rank of Tenure Track Assistant Professor, his or her time as an instructor is not counted toward tenure. The faculty member can request that time as a Tenure Track Instructor count toward tenure. This request must be approved by the Department Chair, Dean and Provost. This written request must be forwarded to

the office of academic affairs through the dean of the college so that tenure records may be adjusted accordingly.”

Appointment to the rank of Tenure Track Instructor may be made when the candidate meets all criteria for appointment to the rank of Tenure Track Assistant Professor but has not completed the appropriate terminal degree. The candidate shall have attained candidacy status in a terminal degree program and be making sufficient progress in his/her degree program with the expectation that it can be completed within a maximum of two years from the date of appointment.

Appointment to the rank of Tenure Track Instructor may also be made for candidates who have a terminal degree but who do not have the requisite skills and experience to assume the full range of responsibilities of a Tenure Track Assistant Professor. Candidates for appointment at rank of instructor should demonstrate potential for excellence in teaching, scholarship, and service and should be judged to have strong potential to attain tenure and advance through the ranks.

When an individual is appointed as a Tenure Track Instructor, the letter of offer should delineate specific expectations and benchmarks for performance consistent with the criteria for promotion to Tenure Track Assistant Professor in Section VII.X.X of this document. As with all faculty hires, individuals hired at the rank of Tenure Track Instructor should demonstrate strong potential to advance through the faculty ranks.

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

#### **b. Appointment Criteria Tenure Track Assistant Professor**

Appointment at the rank of assistant professor is always probationary, with mandatory tenure review occurring in the sixth year of service. Review for tenure prior to the mandatory review year is possible when the Promotion and Tenure Committee determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce

the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted.

### **c. Appointment Criteria Tenure Track Associate Professor and Professor**

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

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

### **e. Promotion Without Tenure**

Academic promotion within the Tenure Track may not include tenure under the following limited conditions as outlined in Faculty Rule [3335-6-03](#) that states:

“An appointment as Professor or Associate Professor will generally entail tenure. However, a probationary period not to exceed four years may be granted by the Office of Academic Affairs upon petition of the Department and the College. For the petition to be approved a compelling rationale must be provided regarding why appointment at a senior rank is appropriate but tenure is not. All appointments at the rank of professor require prior approval of the College and University.”

## **2. Education (Clinical) Faculty Appointment Criteria by Rank**

Education (Clinical) faculty are expected to contribute to all aspects of the department's mission including teaching, scholarship and service. Appointment of Education (Clinical) Faculty will include those individuals who are primarily involved in teaching and education-based scholarship and service. These activities may include, but are not limited to, undergraduate, graduate, professional, postgraduate and post-professional education, advisement and student mentoring,

clinical teaching, continuing professional and peer education, curriculum and course development, application of creative instructional strategies and other learning enhancements, recruitment, and honors advisement. The individual appointed must have the appropriate clinical credentials and/or certifications as may be required for their profession. Education (Clinical) Faculty must strive to bring the most current information into the classroom and be dedicated to the teaching-learning-mentoring process. This should be reflected by excellence in teaching and the development or enhancement of quality educational programs.

The Department of Biomedical Education and Anatomy, as part of a distinguished comprehensive medical center and university, is committed to the appointment of Education (Clinical) faculty who, in addition to their teaching responsibilities, will make significant contributions to the body of knowledge in their field of expertise through educational scholarship and service. Education (Clinical) faculty will be expected to at least contribute to the educational scholarship and productivity of the department through supportive and collaborative roles. Education (Clinical) faculty are expected to demonstrate excellence in service to the Department, College, University, community and their profession. This may also include excellence in clinical teaching, scholarship and service for faculty with a defined clinical role.

For all Education (Clinical) faculty ranks, the initial appointment period is probationary and requires a review of progress at the end of the first year as described in Section V.XX. Renewal of an Education (Clinical) appointment is not guaranteed, even if the performance of the faculty member meets or exceeds the requirements. If renewal is approved at the end of the probationary period, then a 3–5 year non-probationary contract may be offered.

#### **a. Appointment Criteria Education Instructor**

Appointment as an Education Instructor is for candidates with a doctoral degree (or equivalent terminal degree) and/or appropriate credentials pending, who have the relevant educational expertise, and who are expected to be primarily engaged in teaching and educational service, while making contributions to scholarship and academic service.

The initial appointment for an Education Instructor is probationary for a 3-year term. Individuals appointed in this rank will be eligible for mid-contract promotion to the rank of Education (Clinical) Assistant Professor upon completion of their academic requirements (doctoral degree or specified credentials) and contingent upon satisfactory progress as a faculty member during the term as instructor. The

appointment at the Education Instructor is not renewable after the initial 3-year term.

### **b. Appointment Criteria Education (Clinical) Assistant Professor**

Appointment as Education (Clinical) Assistant Professor is for candidates that have earned a doctoral degree or other appropriate terminal degree and/or have relevant clinical expertise and who are expected to make significant contributions to the teaching mission and educational service within the department, college and university. Candidates will also be expected to contribute to the overall educational scholarship and productivity of the department. This may also include excellence in clinical teaching, scholarship and service for faculty with a defined clinical role. Candidates for appointment as Education (Clinical) Assistant Professor will have, at a minimum:

- A record of excellence or significant potential for excellence in teaching
- A record of or significant potential to perform effective service
- Previous experience or significant potential for contributing to educational scholarship and productivity
- Potential to advance through faculty ranks

The initial probationary appointment as an Education (Clinical) Assistant Professor is 3-5 years with renewal appointments of 3 to 5-year terms.

### **c. Appointment Criteria Associate Education (Clinical) Professor**

Appointment as Education (Clinical) Associate Professor is for candidates that have clear and convincing evidence of a demonstrated record of national impact and recognition in teaching, scholarship and service in their area of expertise. This may also include excellence national impact and recognition in clinical teaching, scholarship and service for faculty with a defined clinical role. For appointment as Education (Clinical) Associate Professor the candidate is expected to have at a minimum:

- Exceeded the departmental criteria for appointment as an Education (Clinical) Assistant Professor and
- Met or exceeded the departmental criteria for promotion to Education (Clinical) Associate Professor

The initial probationary appointment as an Education (Clinical) Associate Professor is for a 3-5-year term with renewal appointments of 3 to 5-year terms.

#### **d. Appointment Criteria Education (Clinical) Professor**

Appointment as Education (Clinical) Professor is for candidates that have provided clear and convincing evidence of a sustained record of national and international impact, recognition and leadership roles. This may also include sustained excellence national and international impact and recognition in clinical teaching, scholarship and service for faculty with a defined clinical role. For appointment as Education (Clinical) Professor the candidate is expected to have at a minimum:

- Exceeded the departmental criteria for appointment as an Education (Clinical) Associate Professor and
- Met or exceeded the departmental criteria for promotion to Education (Clinical) Professor

The initial probationary appointment as an Education (Clinical) Professor is for a 3-5-year term with renewal appointments of 3 to 5-year terms.

#### **4. Research Faculty Appointment Criteria by Rank**

The Research faculty are expected to focus primarily on scholarship that includes, but is not limited to, educational, basic science, clinical and translational research. Research faculty may, but are not required to, participate in teaching and service activities. According to faculty rule 3335-7-34, Research faculty:

“The primary duty of research faculty is to conduct research. A research faculty member may, but is not required to, participate in limited educational activities in the area of his or her expertise. However, teaching opportunities for each research faculty member must be approved by a majority vote of the TIU’s tenured faculty. Under no circumstances may a member of the research faculty be continuously engaged over an extended period in the same instructional activities as tenure- faculty. An appointment to a research faculty position should not be made to displace or make unnecessary an appointment to a tenure- faculty position.”

The time allowable for activities not focused on research may depend on the nature and source of funding. The standards for scholarly achievement are similar to those for individuals on the Tenure Track for each faculty rank. Research faculty are

expected to contribute to the department's research mission and are expected to demonstrate excellence in scholarship as reflected by high quality peer-reviewed publications and successful attainment of nationally competitive peer-reviewed funding.

Appointments to the Research faculty are made in accordance with the *University Faculty Rules 3335-7*. Each new appointment must enhance, or have strong potential to enhance, the quality of the department. Unless otherwise authorized by a majority vote of the tenured faculty in a department, Research faculty must comprise no more than twenty per cent of the number of Tenure Track faculty within the department. In all cases, however, the number of Research faculty within a unit must constitute a minority with respect to the number of Tenure Track faculty within the Department.

Contracts will be for a period of at least 1 year and for no more than 5 years and must explicitly state the expectations for the level of salary support to be derived from extramural funds. The contract period is probationary, and a faculty member will be informed by the end of each probationary year as to whether they will be reappointed for the following year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended at the conclusion of the probationary contract period. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. There is no presumption that a new contract will be extended as a result of the initial appointment. In addition, the terms of a contract may be renegotiated at the time of reappointment.

Research faculty are eligible to serve on departmental and university committees and task forces, but not on university governance committees. Research faculty members also are eligible to advise and supervise graduate and postdoctoral students and to be a principal investigator on extramural research grant or contract applications. Approval to advise and supervise graduate students must be obtained from the Graduate School as detailed in Section IX the Graduate School Handbook.

#### **a. Appointment Criteria Research Assistant Professor**

Appointment as Research Assistant Professor for candidates that have clear and convincing evidence of impact and recognition at local or regional level scholarship that includes, but is not limited to, educational, basic science, clinical and translational research. For appointment as Research Assistant Professor the candidate is expected to have at a minimum:

- An earned doctorate or other terminal degree in the relevant field of study, or possession of equivalent experience or specified certificate.
- Completion of sufficient post-doctoral research training to provide the basis for establishment of an independent research program.
- An initial record of excellence in scholarship as demonstrated by having begun to develop a body of research, scholarship, and creative work.
- Initial evidence of an independent research program as reflected by first or senior author publications and/or multiple co-authorships
- Existing or strong likelihood of extramural research funding as principal investigator, co-principal investigator, co-investigator on multiple grants or one of several program directors on network-type or center grants.
- A strong record of adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors.
- Strong potential for career progression and advancement through the faculty ranks.

#### **b. Appointment Criteria Research Associate Professor**

Appointment criteria for Research Associate Professor are identical to the criteria for promotion to this rank as outlined in Section VII.A.5 of this document.

#### **c. Appointment Criteria Research Professor**

Appointment criteria for Research Professor are identical to the criteria for promotion to this rank as outlined in Section VII.A.5 of this document.

### **5. Associated Faculty Appointment Criteria**

Associated Faculty appointments are for faculty members that focus on a specific and well-defined aspect of the department’s mission, most commonly outstanding teaching. Associated Faculty may be involved in scholarly pursuits and service to the department, college or university, but this is not required for advancement. Associated Faculty, as defined in the *Rules of the University Faculty* 3335-5-19 (D), include “persons with adjunct titles, clinical titles, visiting titles, and lecturer titles,” plus “professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than fifty per cent service to the university.”



At a minimum, all candidates for Associated Faculty appointments must meet the following criteria:

- Associated Clinical Faculty with clinical responsibilities must be a licensed physician or health care provider.
- All appointed Associated Faculty must have significant and meaningful interaction in at least one of the following mission areas of the Department of Biomedical Education and Anatomy:
  - (1) Teaching of undergraduate, graduate, postdoctoral, dental students, medical students, residents, or fellows. For community physicians providing outpatient teaching of medical students, meaningful interaction consists of supervising medical students for at least one month out of the year.
  - (2) Research within the Department of Biomedical Education and Anatomy. Associated faculty may collaborate within the College of Medicine or University at large on research projects involving education, basic science, clinical and/or translational scholarship.
  - (3) Administrative roles within the Department of Biomedical Education and Anatomy, College of Medicine or University at large. This includes participation in committees or other leadership activities consistent with the overall mission of the department.

Members of the Associated Faculty are not eligible for tenure, may not vote at any level of governance, and may not participate in promotion and tenure matters. Associated Faculty appointments may be salaried or non-salaried positions. Associated Faculty appointments are for 1 to 3 years and can be renewed. In general, the Associated Faculty rank parallels the rank that would be appropriate if the individual were a member of the faculty and similar criteria are used for appointment.

#### **a. Appointment/Reappointment of Associated Faculty at Advanced Rank**

By definition, Associated Faculty members are appointed for 1-year terms. As such, Associated Faculty are not eligible for traditional promotion, but they are eligible to be reappointed at the next rank. Appointment or reappointment at advanced rank should be based on continued excellence in a specific aspect of the College mission. All new appointments at advanced rank require a review and vote of the eligible faculty, an evaluation by the Department Chair, and an evaluation letter from a person that can attest to the faculty member's primary contribution in teaching or

scholarship, service and/or clinical care.

Appointment/reappointment for Associated Faculty at the level of Associate Professor requires that faculty member meet the following criteria:

- **Teaching and Mentoring:** For Associated Faculty members whose principal focus is teaching and mentoring, benchmarks for appointment or reappointment at the rank of Associate Professor include sustained excellence in reviews by all trainees supervised by the faculty member, teaching awards, introduction of students to new modes of learning not previously available to students and/or participation or leadership in curriculum development.
- **Scholarship:** For Associated Faculty members whose principal focus is scholarship, benchmarks for appointment or reappointment at the rank of Associate Professor include participation in research projects, programs, or other scholarly activities that result in enhanced recognition of the Department through publications, funded programs, or other means. Presentations at local, regional or national meetings or leadership or participation in local, regional or national organizations dedicated to the faculty member's area of focused scholarship serve as further indicators of advancement to this rank. Although a record of publication is not an expectation for Associated Faculty, publications or other forms of dissemination of scholarship (e.g., books, manuals, web based documents, or other electronic media) are valued and contribute to advancement in rank. This is particularly true for Associated Faculty who are appointed based on their collaboration in research or other scholarly activities. Publications may be of diverse types and are not required to be first or senior authored.
- **Leadership and Administration:** For Associated Faculty members whose principal focus is service, benchmarks for appointment or reappointment at the rank of Associate Professor may include the faculty member's membership and participation on committees or other leadership groups. Leadership of subgroups within a committee or supervision of a task force is another example of such benchmarks. There must be a sustained commitment to leadership and administration rather than a single interaction with a Department of Biomedical Education and Anatomy, College of Medicine or University committee or leadership group.

Appointment/reappointment for Associated Faculty at the level of Professor is

based not only on sustained contributions in the faculty member's area of focus but on a more advanced stage of leadership or greater sphere of impact than that of an Associate Professor and requires that faculty member meet the following criteria:

- **Teaching and Mentoring:** For Associated Faculty members whose principal focus is teaching and mentoring, faculty appointment or reappointment to the rank of Professor will not only have the accomplishments of an Associate Professor but will also attain broader recognition for contributions through curriculum development and recognition of excellence in education. This may come in the form of national and international teaching awards, membership and leadership in national and international organizations and meetings dedicated to biomedical education, adoption of teaching innovations and curricula introduced by the faculty member to institutions outside the institution, and invitations to speak at outside institutions. Although publications are not an expectation, publications or web sites conveying the faculty member's innovations will serve as an indication for dissemination of innovation outside the Department.
- **Scholarship:** For Associated Faculty members whose principal focus is scholarship, faculty appointment or reappointment to the rank of Professor will exceed the scope of those at the rank of Associate Professor. Benchmarks include participation in research projects, programs, or other scholarly activities that result in enhanced national and international recognition of the Department through publications, funded programs, or other means. Authorship or co-authorship of manuscripts or other scholarly publications and participation in nationally or internationally funded programs of research are examples of benchmarks for those achieving this rank. Presentations at national and international meetings and membership or leadership in national or international organizations dedicated to the faculty member's focus of scholarship are further benchmarks.
- **Leadership and Administration:** For Associated Faculty members whose principal focus is service, faculty appointment or reappointment to the rank of Professor will progress to senior leadership roles in the Department, College of Medicine or University. This may consist of serving as chair of committees that contribute to the growth in excellence of the Department or which have made fundamental and innovative changes in Departmental procedures, practice or culture. There must be a record of sustained senior leadership rather than a single interaction with a Departmental, College of Medicine or University committee or leadership group.

The following titles and ranks are those used for Associated Faculty appointments within the Department of Biomedical Education and Anatomy and include:

**b. Lecturer**

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

**c. Adjunct Instructor, Adjunct Assistant Professor, Adjunct Associate Professor and Adjunct Professor**

Adjunct appointments may be compensated or uncompensated. Adjunct faculty appointments are given to individuals who give academic service to the department, such as teaching a course or serving on graduate student committees, for which a faculty title is appropriate. Typically the adjunct faculty rank is determined by applying the criteria for appointment of tenure-track faculty. Adjunct faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**d. Clinical Instructor, Clinical Assistant Professor, Clinical Associate Professor, Clinical Professor**

Associated faculty with patient care responsibilities will be given Clinical Faculty appointments. Clinical Faculty appointments may either be compensated or not compensated. Criteria for appointment at advanced rank are the same as for promotion. Clinical Faculty members are eligible for promotion (but not tenure).

**e. Assistant Professor, Associate Professor, Professor with FTE below 50%**

**Assistant Professor, Associate Professor, Professor with FTE below 50%.** Appointment at tenure-track titles is for individuals at 49% FTE or below, either compensated (1 – 49% FTE) or uncompensated (0% FTE). The rank of associated faculty with tenure-track titles is determined by applying the criteria for appointment of tenure-track faculty. Associated faculty members with tenure-track titles are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

**f. Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor**

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

**g. Specific Criteria for Associated Faculty Appointment or Reappointment According to Rank**

The following are criteria for appointment or reappointment, requirements of the Associated Adjunct and Clinical Faculty in the Department of Biomedical Education and Anatomy:

**i. Appointment or Reappointment at the Rank of Associated Adjunct or Clinical Instructor:**

- This is for persons with a terminal degree, certificate or licensure in their field of expertise who are expected to be primarily engaged in teaching, student supervision and minimal departmental service and scholarship.
- Individuals must maintain high standards of professional performance and practice as an educator and demonstrate minimal participation in scholarly activities and serves within the Department.
- Individuals must demonstrate an ability to teach students effectively prior to appointment and contribute to educational programs of the department, such as supervision of students, curriculum planning/development, team teaching, membership on divisional/unit committees, or recruitment.

**ii. Appointment or Reappointment at the Rank of Associated Adjunct or Clinical Assistant Professor:**

- A doctoral degree or equivalent qualifications

- Meets or exceeds the criteria for rank of Associated Adjunct or Clinical Instructor

**iii. Appointment or Reappointment at the Rank of Associated Adjunct or Clinical Associate Professor:**

- A doctoral degree or equivalent qualifications
- Meets or exceeds criteria for rank of Associated Adjunct or Clinical Assistant Professor
- Contributes to the formal academic program in the department with responsibilities for didactic information in a specialty area. Is recognized as an outstanding teacher, as evidenced by evaluation by peers and students.
- Conducts and/or participates in research activities related to the professional area.
- Publishes in professional journals, books, and monographs.

**iv. Appointment or Reappointment at the Rank of Associated Adjunct or Clinical Professor:**

- A doctoral degree or equivalent qualifications
- Meets or exceeds criteria for rank of Associated Adjunct or Clinical Associate Professor
- Recognized national or international authority in an area of expertise
- Nationally or internationally recognized for contributions to area of expertise
- Conducts and directs research activities related to area of expertise

**6. Courtesy Appointment for Faculty**

Courtesy appointments (non-salaried, joint appointments) in the Department are made for faculty members with primary appointments in other departments or colleges at The Ohio State University, who teach students, perform collaborative research with faculty whose primary appointment is in the Department or contribute administrative or other expertise that is beneficial to the Department. The rank of the courtesy appointment in the Department must be consistent with the rank of the faculty member's primary appointment. To qualify for the courtesy appointment, the candidate must fulfill the criteria of the Department for appointment to the proposed rank. The primary tenure-initiating unit (TIU) is responsible for the professional development and evaluation of the faculty member.

## **B. Procedures**

### **1. Tenure Track Faculty**

#### **a. Initial Appointment**

##### **i. National Search**

Candidates for a faculty appointment assigned to the Department are identified by a search committee made up of faculty who are appointed by the Departmental Chair. Candidates for a division/unit director position or for faculty with college-wide duties are identified by a search committee appointed by the College of Medicine designee. Each search is conducted nationally in accordance with the rules of The Ohio State University. Vigorous efforts are made to ensure a diverse pool of highly qualified candidates. A member of the search committee is specifically identified as the diversity advocate. The Office of Human Resources publishes guidelines for effective searches (<http://hr.osu.edu/hrpubs/guidesearches.pdf>).

At the conclusion of a search, the Chair of the Search Committee reports the recommendation(s) to the Department Chair, or to the College of Medicine designee in the case of division/unit directors or college-wide faculty. Requests for appointments based on a search within the Department are submitted by the division/unit director to the Department Chair.

This national search requirement applies at the time of initial appointment. If the initial appointment occurs at the rank of Instructor, the national search criterion has been satisfied and a new search is not required at the time of promotion to Assistant Professor.

##### **ii. Application Requirements**

Candidates for appointment at the rank of Instructor or Assistant Professor must submit a current CV along with other supporting documentation providing clear evidence of the candidate's potential for excellence in teaching, scholarship, and service. This should reflect the candidate's potential to attain tenure and advance through the ranks. A full dossier is not required, but if available, it will facilitate the review process.

Candidates for appointments at the rank of Associate Professor or Professor must submit a full dossier or equivalent documentation providing clear evidence of the

candidate's excellence in teaching, scholarship, and service. Senior appointments also require external letters of evaluation that are solicited by the Department Chair or College of Medicine designee. The process for soliciting these letters must follow the OAA Guidelines for letters of evaluation using the sample provided in Appendix A of this document, paralleling the procedures for outside evaluation of promotion with tenure.

Applications from candidates who will be serving as faculty in the Department should include an evaluation from the department chair, paralleling the evaluation that would be provided a candidate for promotion. If the appointment is for a Division/Unit Director or faculty not in the Department, then a member of the College's executive committee selected by the executive committee shall serve this role in accordance with the procedure for promotion of Division/Unit Directors.

### **iii. Procedure for Appointment**

The Departmental Chair submits requests for appointments of all faculty to the Committee of Eligible Faculty of the Department for review, evaluation, and recommendation. An individual cover letter is submitted for each request, delineating the requested faculty rank and the nature of the teaching, scholarship, and service activities the candidate will perform in the Department. Requests must be accompanied by supporting documents as specified above to ensure compliance with the criteria for the rank sought.

The meeting of the Committee of Eligible Faculty shall commence with presentation of the candidate's qualifications by the Department Chair or appointed designee. Alternatively, this presentation may be made by College of Medicine designee in case the candidate is to be appointed as a division director or other position reporting directly to the Department Chair.

Following this presentation, the candidate's accomplishments are reviewed by the Committee of Eligible Faculty. The Department Chair or alternate shall be present and available to correct any discrepancies in Committee of the Eligible Faculty's assessment of the candidate's accomplishments. The Department Chair or alternate shall then be excused from further deliberations.

Discussion of the candidate shall follow, and then the Committee of Eligible Faculty shall vote. The recommendation of the Committee of Eligible Faculty regarding each request is forwarded in writing by the Chair of the Committee of Eligible Faculty to



the Department Chair. The Department Chair seeks approval from the college and University.

If the appointment is approved, a letter of offer of employment, signed by the Department Chair and the College of Medicine director, is sent to the candidate. This letter of offer must be consistent with the University's Guidelines for Faculty Position Letters of Offer.

All offers at the rank of Associate Professor or Professor, with or without tenure, and all offers of prior service credit, require the approval of the college and the Office of Academic Affairs. Offers to foreign nationals require prior consultation with the Office of International Affairs.

#### **iv. Transfer from the Tenure Track**

Tenure Track Faculty may transfer to an Education (Clinical) or Research appointment if appropriate circumstances exist. Tenure is lost upon transfer, and transfers must be approved by the Department Chair, the Dean of the College of Medicine, and the Executive Vice President and Provost of the University. The request for transfer must be initiated by the faculty member in writing and must state clearly how the individual's career goals and activities have changed.

## **2. Education Faculty**

The same procedures described above for Tenure Track Faculty are followed for Education (Clinical) Faculty, with two exceptions. First, the criteria for appointment evaluated by the department's Committee of Eligible Faculty are found in the section on Education Faculty, in VII.XX.XX. Second, the need for a national search may be waived with approval of the Departmental Chair and Dean of the College of Medicine. If a national search is performed, it must be consistent with the university policies set forth in *A Guide to Effective Searches*, found at: <http://www.hr.osu.edu/hrpubs/guidesearches.pdf>.

Transfers from an Education appointment to the Tenure Track are not permitted. Education Faculty may apply for Tenure Track positions and compete in regular national searches for such positions when they become available.

### **3. Research Faculty**

Searches for initial appointments of Research Faculty should follow the same procedures as those utilized by the Department for Tenure Track Faculty, with two exceptions. First, the criteria for appointment evaluated by the Department's Committee of Eligible Faculty are found in the section on Research Faculty, in VII.XX.XX. Second, the need for a national search may be waived with approval by the Departmental Chair and Dean of the College of Medicine. If a national search is performed, it must be consistent with the university policies set forth in *A Guide to Effective Searches*, found at: <http://www.hr.osu.edu/hrpubs/guidesearches.pdf>.

Transfers from a Research appointment to the Tenure Track are not permitted. Research Faculty may apply for Tenure Track positions and compete in regular national searches for such positions when they become available.

### **4. Associated Faculty**

Associated Faculty are recruited by the faculty in the Department. Candidates submit their credentials to the department faculty or program director who, in turn, writes a letter to the department chair requesting the appointment and indicating the desired rank and expected role to be filled by the Associated Faculty member. Associated Faculty requests may also be made by the Department Chair and presented to the faculty of the department for discussion and approval. All Associated Faculty requests must be accompanied by a curriculum vita. Criteria for appointment of Associated Faculty are found in the section of Associated Faculty in VII.XXX.XXX.

All initial Associated Faculty appointments must be forwarded by the Department Chair to the Committee of Eligible Faculty for review, evaluation, and recommendation. Consideration of these appointments by the Committee of Eligible Faculty does not require a face-to-face meeting. Committee members shall individually evaluate the supporting documentation in electronic or other formats and shall independently vote by email or in person to the Committee of Eligible Faculty Chair.

Based on the vote of the Committee of Eligible Faculty, the Chair of the Committee will send a written recommendation to the Department Chair. New appointments must be submitted to the College of Medicine for approval. Senior appointments at the rank of Associate Professor or Professor require approval from the College of

Medicine and University. The Department Chair seeks approval from above and informs the faculty of the final decision. The Department Chair then informs the candidate who, in turn, submits the necessary personnel forms to the Department Chair, who then forwards the paperwork to the College's human resource officer for processing.

Associated Faculty appointments are for 1 to 3 years. In years after the initial Associated Faculty appointment, the decision to reappoint at the same rank is made at the administrative level and does not require approval of the Committee of Eligible Faculty.

## **5. Courtesy Appointment Faculty**

Courtesy appointments in the Department may be made to faculty in other University departments who make a substantial contribution to the departmental mission. If the courtesy appointment is specific to a division/unit or program, then the request must come from the division/unit or program director and/or faculty. If the candidate accepts the nomination, the candidate submits their credentials, and the division/unit or program director provides a written nomination to the Department Chair requesting the appointment and indicating the faculty rank and the expected role to be filled by the courtesy faculty appointment. The request must be accompanied by a curriculum vita.

The Department Chair forwards the request to the Committee of Eligible Faculty for review and evaluation. Based on the vote of the Committee of Eligible Faculty, the Chair of the Committee sends a written recommendation to the Department Chair. The Department Chair informs the division/unit or program director and/or faculty of the final decision. The Department Chair informs the candidate who, in turn, submits the necessary personnel forms to the Department Chair, who then forwards the paperwork to the College's human resource officer for processing. The Department Chair, in consultation with a division/unit director, program director and/or faculty, may terminate a Courtesy Appointment when, the faculty member no longer makes a substantial contribution to the Department, College or University.

## **C. Annual Review Procedures**

The Department Chair or appointed designee must conduct an annual review of every faculty member, irrespective of rank, in accordance with University Rule [3335-6-03 \(C\)](#), and the Office of Academic Affairs [Policies and Procedures Handbook](#). The only exception to this guideline is that Courtesy appointments do

not require formal annual renewal, but continuation of the appointment should reflect ongoing academic involvement as described in the Office of Academic Affairs Policies and Procedures Volume 1: 2.4.1.6.

The faculty member must maintain an up-to-date dossier and/or curriculum vitae on record with the Department. Departments will establish a formal mechanism for the review of all faculty members during the course of each academic year. Departments may create a standardized evaluation tool to suit their unique needs. The Department Chair or appointed designee will supply each faculty member with a written evaluation of their performance, in narrative format. Annual reviews must include an opportunity for a face-to-face meeting with the Department Chair. If a Chair's designee conducts the annual review, there must be a mechanism for appraising the Chair of each faculty member's performance. Each department will be responsible for implementing such a plan and describing the annual review procedure in its individual Appointments, Promotion and Tenure document. Department procedures are consistent with those of the College of Medicine guidelines and include the following for all Tenure Track, Education and Research Faculty:

- Annual reviews are the responsibility of the Department Chair.
- Annual reviews will be based on the previous calendar year.
- Initial review of first year faculty will be conducted in May of the first year and will only consider performance since date of hire.
- Current faculty curriculum vitae are to be maintained in an accessible location in the Department where any faculty members can review them.
- A face-to-face meeting is required annually between the Department Chair and each faculty member. The division/unit director also participates in this meeting and is expected to provide input regarding the faculty member's performance and projected development.
- The review culminates in a letter or other written report by the Department Chair that must include:
  - A summary of the strengths and weaknesses in the faculty member's performance.
  - For probationary faculty, a decision to reappoint a faculty member to another probationary year or to terminate the probationary appointment subject to relevant standards of notice (see Faculty Rule 3335-6-08).
  - Advice for improvement and discussion of goals for the future and expectations and plans for professional development.

- A statement informing the faculty member of the right to review their primary personnel file and to include a written comment on any material in the file.
- The annual review should be aimed at the following objectives:
  - Assist faculty in improving professional productivity through candid and constructive feedback and through the creation of professional development plans.
  - Establish the goals against which faculty performance will be assessed in the foreseeable future.
  - Document faculty performance in order to determine salary increases and other resources allocations, progress toward promotion, and in the event of poor performance, the need for remedial steps or termination.

## **D. Probationary Tenure Track Faculty**

Faculty Rule 3335-6-03 section (C) covers the rules for annual review of Tenure Track Faculty during the probationary period, including the fourth year review. The following key points are restated from that rule with text appropriate to the department and this document.

“(1) At the time of appointment, probationary Tenure Track Faculty shall be provided with all pertinent documents detailing department, college, and university promotion and tenure policies and criteria. If these documents are revised during the probationary period, probationary Tenure Track Faculty shall be provided with copies of the revised documents.”

“(2) During a probationary period a Tenure Track Faculty shall be reviewed annually in accordance with this rule and with policies of the department, college and university. The annual review shall follow the procedures set forth above under Section IV of this document. The Department Chair or appointed designee shall inform probationary faculty members at the time of initial appointment, and in a timely fashion each year thereafter, when the annual review will take place and provide a copy of the Office of Academic Affairs dossier outline to be completed by the faculty member in reporting accomplishments to date.

A recommendation from the Department Chair to not reappoint the faculty member to another probationary year requires a review that follows fourth year

review procedures (see section V.A.2.) and the dean shall make the final decision in the matter.”

All annual review letters to date shall become a part of a faculty member's dossier for subsequent annual reviews during the probationary period, including the review for promotion and tenure.”

“(3) When probationary Tenure Track Faculty receive their annual review, the Department Chair or appointed designee shall inform them of their right to review their primary personnel file maintained by the Department and to place in that file a response to any evaluation, comment or other material contained in the file (see rule 3335-3-35 of the Administrative Code).

In the Department, in addition to the general procedures stated immediately under Section V for all faculty, the following key points of guidance are provided to probationary Tenure Track Faculty:

**When does the review take place?**

The review will take place in the Autumn Semester, unless it is the first year of appointment in which the review takes place in Spring Semester.

**What time period is being reviewed?**

The time period being reviewed is the previous academic year, which equates autumn through summer semester of the previous year. In first year of appointment, the time period reviewed equates the time since hire.

**What type of documentation should be prepared by faculty for submission?**

Faculty should prepare a full dossier and/or curriculum vitae consisting of productivity from date of hire. Additional documentation to clarify accomplishments may be submitted as required.

**To whom and when is the documentation submitted?**

All documentation should be submitted to the Department Chair or appointed designee on the first day of business on or after September 1.

**What Committee of Eligible Faculty action is required?**

The Committee of Eligible Faculty reviews the faculty member's dossier and/or curriculum vitae in conjunction with the faculty member's immediate supervisor if applicable and develops a summary evaluation based on the AP&T criteria

document of the department and forwards their final summary to the Department Chair or appointed designee.

**What Department Chair action is required?**

As specified under Section IV above, the Department Chair or appointed designee reviews all materials, prepares a summary evaluation based upon the summary recommendations of the Committee of Eligible Faculty, meets with the faculty member (along with the faculty member’s immediate supervisor if applicable) and writes a detailed letter of evaluation that is sent to the faculty member being reviewed by February 15. In the event of a negative review and a recommendation for non-renewal, the fourth year review process must be followed.

**How is the annual evaluation documented?**

The annual evaluation is documented in a letter from the Department Chair or appointed designee including comments from the faculty member being reviewed and is part of the permanent employee record and included in the dossier for tenure and/or promotion.

**1. Fourth-Year Review**

The fourth year review of probationary Tenure Track Faculty shall follow the same process as the review for tenure and promotion at departmental and college levels as specified in Section VII.B.1XXXX, with two exceptions: 1) external letters are not solicited for the fourth year review, and 2) review by the College of Medicine Promotion and Tenure Advisory Committee is not mandatory

The original letter of assessment prepared by the Department Chair or appointed designee on behalf of faculty, or alternate member from the executive committee for division/unit directors and others who report directly to the Department Chair, is due along with the faculty member’s dossier and/or curriculum vitae by close of business on September 1. The Committee of the Eligible Faculty shall complete its review as specified in VII.B.1 by October 31.

The Department Chair shall complete the assessment as specified in VII.B.1 by November 15. The formal comments process specified under Faculty Rule 3335-6-04 is followed as in the mandatory review year. After the comments process, the dossier is then sent directly to the college dean for consideration.

Upon a positive recommendation from the department, renewal of the appointment of a probationary assistant professor for the fifth year requires only the approval of the dean of the college and does not require review by the college's Committee of Eligible Faculty. In accordance with Faculty Rule 3335-6-03, a positive decision results in renewal of the faculty member's appointment for another year.

Before reaching a negative decision or a decision contrary to the Department's recommendation, the college dean must consult with the Departmental Committee of Eligible Faculty. If either the Department Chair or the Dean recommends nonrenewal of a faculty member's probationary contract, the case will be referred to the College Appointment, Promotion and Tenure Advisory Committee, which will review the case, vote and make a recommendation to the Dean. A negative decision for the fourth year review results in termination of the appointment at the end of the fifth year.

The Dean makes the final decision regarding renewal or nonrenewal of the probationary appointment. In all cases, the Dean independently evaluates all faculty in their fourth year of probationary appointment and will provide the Department Chair with a written evaluation of the candidate's progress.

## **2. Eighth Year Review**

For faculty members with an 11-year probationary period, an eighth year review, utilizing the same principles and procedures as the fourth year review, will also be conducted.

## **3. Exclusion of Time from Probationary Period**

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

## **E. Tenured Faculty**

Tenured faculty members are to be reviewed annually by the Department Chair or appointed designee. The Department Chair or the designee meets with each faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation in narrative format.



## **1. Specific Procedures for Annual Review of Tenured Faculty Not Seeking Promotion in the Following Year**

### **When does the review take place?**

The review will take place Spring Semester.

### **What time period is being reviewed?**

The time period reviewed is the year since the previous annual evaluation.

### **What type of documentation should be prepared by faculty for submission?**

The documentation provided should include an abbreviated dossier and/ curriculum vitae consisting of productivity from the preceding year. Additional documentation to clarify accomplishments may be submitted as needed.

### **To whom and when is the documentation submitted?**

All documentation should be submitted to the Department Chair or appointed designee by March 15.

### **What Committee of Eligible Faculty action is required?**

There is no action required by the Committee of Eligible Faculty.

### **What Department Chair action is required?**

The Department Chair will review materials and prepare a summary evaluation. A face-to-face meeting with the faculty member along with their division/unit director, if applicable, is required.

### **How is the annual evaluation documented?**

The annual evaluation is documented by a letter from Department Chair and may include comments from the candidate, if provided, and is a part of the permanent employee record and is included in the dossier for tenure and/or promotion.

## **2. Procedures for the Annual Review of Tenured Faculty Seeking Promotion in the Current Cycle**

### **When does the review take place?**

The review takes place in Autumn Semester.

**What time period is being reviewed?**

The time period reviewed is all years since the year tenured or the year of last promotion.

**What type of documentation should be prepared by faculty for submission?**

The submitted documentation should include a full dossier and/or curriculum vitae consisting of productivity from date of hire. External letters of review are required. Additional documentation to clarify accomplishments may be submitted as needed.

**To whom and when is the documentation submitted?**

Documentation is submitted to the Department Chair on the first business day on or after September 1.

**What Committee of the Eligible Faculty action is required?**

The Committee of Eligible Faculty members (of higher rank than the candidate) reviews the dossier in conjunction with faculty member's direct supervisor and develops a summary evaluation based on the AP&T criteria document of the Department, and votes on the candidate. The summary of the AP&T assessment and numerical vote shall be forwarded to the Department Chair.

**What Department Chair action is required?**

The Department Chair or appointed designee reviews the candidate's record and develops a summary. If a designee is appointed, the record and summary will be forwarded to the Department Chair for final review. The Department Chair reviews materials and prepares a written evaluation and recommendation, meets face-to-face with the candidate, and sends the letter and dossier to the college for a decision. The faculty member shall be notified of their right to respond to the evaluation by placing comments in the dossier.

**How is the annual evaluation documented?**

The annual evaluation is documented in a letter from the Department Chair and may include comments from the candidate, if provided, and is a part of the permanent employee record and is included in the dossier for tenure and/or promotion.

## **F. Education (Clinical) Faculty**

The annual review process for Education Probationary and Non-Probationary (Clinical) Faculty is identical to that for Tenure Track Probationary and Tenured Faculty respectively. In the penultimate year of an Education (Clinical) Faculty member's appointment, a formal performance review is necessary to determine whether the faculty member will be offered reappointment. This review proceeds identically to the fourth-year review procedures for Tenure Track Faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

### **1. Procedures for the Annual Review of Education (Clinical) Faculty during the Probationary Period**

#### **When does the review take place?**

The review takes place in Autumn Semester. If the faculty member is in the first year of their appointment, the review is in Spring Semester.

#### **What time period is being reviewed?**

The time period covered is the previous contract year. If the faculty member is in the first year of their appointment, the time period covered is since hire.

#### **What type of documentation should be prepared by faculty for submission?**

The documentation should include a full dossier and/or curriculum vitae consisting of productivity from date of hire. Additional documentation to clarify accomplishments may be submitted as needed.

#### **To whom and when is the documentation submitted?**

All documentation should be submitted to the Department Chair or appointed designee on the first day of business on or after September 1.

#### **What Committee of Eligible Faculty action is required?**

The Committee of Eligible Faculty reviews the dossier, meets with division/unit director, and develops a summary evaluation based on the AP&T criteria document of the department. A summary of the AP&T assessment is forwarded to the Department Chair or appointed designee.

#### **What Department Chair action is required?**

The Department Chair or appointed designee reviews the candidate's record and develops a summary. If a designee is appointed, the record and summary will be

forwarded to the Department Chair for final review. The Department Chair reviews materials, meets with the faculty member, and prepares a written evaluation. The faculty member shall be notified of their right to respond to the evaluation by placing comments in the dossier. In the event of a decision for non-renewal during the probationary period the faculty member must be notified by February 15.

**How is the annual evaluation documented?**

The annual review is documented in a letter from the Department Chair and may include comments from the candidate, if provided, and is part of the permanent employee record and is included in the dossier for reappointment and/or promotion.

**2. Procedures for the Annual Review of Education (Clinical) Faculty who are Not Seeking Promotion**

**When does the review take place?**

The review takes place in Spring Semester.

**What time period is being reviewed?**

The time period being reviewed is the previous contract year since last review.

**What type of documentation should be prepared by faculty for submission?**

The documentation should include an abbreviated dossier and/or curriculum vitae consisting of productivity from past contract year. Additional documentation to clarify accomplishments may be submitted as needed.

**To whom and when is the documentation submitted?**

All documentation should be submitted to the Department Chair or appointed designee by March 15.

**What Committee of Eligible Faculty action is required?**

There is no action required by the Committee of Eligible Faculty.

**What Department Chair action is required?**

The Department Chair or appointed designee reviews the candidate's record and develops a summary. If a designee is appointed, the record and summary will be forwarded to the Department Chair for final review. The Department Chair reviews materials and prepares a written evaluation (after the meeting, if one

occurred). The faculty member shall be notified of their right to respond to the evaluation by placing comments in the dossier.

**How is the annual evaluation documented?**

The annual evaluation is documented by a letter from Department Chair and may include comments from the candidate, if provided, and is part of the permanent employee record and is included in the dossier for reappointment and/or promotion.

**3. Procedures for the Annual Review of Education (Clinical) Faculty Seeking Promotion or Reappointment**

**When does the review take place?**

The review takes place in Autumn Semester.

**What time period is being reviewed?**

The time period covered is all years since date of appointment, reappointment or last promotion.

**What type of documentation should be prepared by faculty for submission?**

The documentation should include a full dossier and/or curriculum vitae consisting of productivity from date of hire. Additional documentation to clarify accomplishments may be submitted as needed.

**To whom and when is the documentation submitted?**

All documentation should be submitted to the Department Chair or appointed designee by the first day of business on or after September 1.

**What Committee of the Eligible Faculty action is required?**

Committee of the Eligible Faculty reviews the dossier, meets with division/unit director, develops a summary evaluation based on the AP&T criteria document of the department, and votes on the candidate. The summary of the AP&T assessment and numerical vote shall be forwarded to the Department Chair.

**What Department Chair action is required?**

The Department Chair or appointed designee reviews the candidate's record and develops a summary. If a designee is appointed, the record and summary will be forwarded to the Department Chair for final review. The Department Chair reviews materials, prepares a written evaluation with recommendations, and meets face-to-face with the faculty member. The faculty member shall be

notified of their right to place comments in the dossier regarding the evaluation. In the case of a negative review and a decision not to reappoint the candidate, the candidate shall be notified by February 15. Recommendations for promotion must be forwarded on to the College's Committee of Eligible Faculty for further approvals.

**How is the annual evaluation documented?**

The annual review is documented in a letter from the Department Chair and may include comments from the candidate, if provided, and is part of the permanent employee record and is included in the dossier for reappointment and/or promotion.

**G. Research Faculty**

The annual review process for Research probationary and Non-Probationary Faculty is identical to that for Tenure Track Probationary and Tenured Faculty respectively. In the penultimate year of a Research faculty member's appointment, a formal performance review is necessary to determine whether the faculty member will be offered reappointment. This review proceeds identically to the fourth-year review procedures for Tenure Track Faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract.

**1. Procedures for the Annual Review of Research Faculty during the Probationary Period**

**When does the review take place?**

The review takes place in Autumn Semester. If the faculty member is in the first year of their appointment, the review is in Spring Semester.

**What time period is being reviewed?**

The time period covered is the previous contract year. If the faculty member is in the first year of their appointment, the time period covered is since hire.

**What type of documentation should be prepared by faculty for submission?**

The documentation should include a full dossier and/or curriculum vitae consisting of productivity from date of hire. Additional documentation to clarify accomplishments may be submitted as needed.

**To whom and when is the documentation submitted?**

All documentation should be submitted to the Department Chair or appointed designee on the first day of business on or after September 1.

**What Committee of Eligible Faculty action is required?**

The Committee of Eligible Faculty reviews the dossier, meets with division/unit director, and develops a summary evaluation based on the AP&T criteria document of the department. A summary of the AP&T assessment is forwarded to the Department Chair or appointed designee.

**What Department Chair action is required?**

The Department Chair or appointed designee reviews the candidate's record and develops a summary. If a designee is appointed, the record and summary will be forwarded to the Department Chair for final review. The Department Chair reviews materials, meets with the faculty member, and prepares a written evaluation. The faculty member shall be notified of their right to respond to the evaluation by placing comments in the dossier. In the event of a decision for non-renewal during the probationary period the faculty member must be notified by February 15.

**How is the annual evaluation documented?**

The annual review is documented in a letter from the Department Chair and may include comments from the candidate, if provided, and is part of the permanent employee record and is included in the dossier for reappointment and/or promotion.

**2. Procedures for the Annual Review of Research Faculty who are NOT Seeking Promotion****When does the review take place?**

The review takes place in Spring Semester.

**What time period is being reviewed?**

The time period being reviewed is the previous contract year since last review.

**What type of documentation should be prepared by faculty for submission?**

The documentation should include an abbreviated dossier and/or curriculum vitae consisting of productivity from past contract year. Additional documentation to clarify accomplishments may be submitted as needed.

**To whom and when is the documentation submitted?**

All documentation should be submitted to the Department Chair or appointed designee by March 15.

**What Committee of Eligible Faculty action is required?**

There is no action required by the Committee of Eligible Faculty.

**What Department Chair action is required?**

The Department Chair or appointed designee reviews the candidate's record and develops a summary. If a designee is appointed, the record and summary will be forwarded to the Department Chair for final review. The Department Chair reviews materials and prepares a written evaluation (after the meeting, if one occurred). The faculty member shall be notified of their right to respond to the evaluation by placing comments in the dossier.

**How is the annual evaluation documented?**

The annual evaluation is documented by a letter from Department Chair and may include comments from the candidate, if provided, and is part of the permanent employee record and is included in the dossier for reappointment and/or promotion.

**3. Procedures for the Annual Review of Research Faculty Being Considered for Promotion or Reappointment**

**When does the review take place?**

The review takes place in Autumn Semester.

**What time period is being reviewed?**

The time period covered is all years since date of appointment, reappointment or last promotion.

**What type of documentation should be prepared by faculty for submission?**

The documentation should include a full dossier and/or curriculum vitae consisting of productivity from date of hire. Additional documentation to clarify accomplishments may be submitted as needed.

**To whom and when is the documentation submitted?**

All documentation should be submitted to the Department Chair or appointed designee by the first day of business on or after September 1.



**What Committee of the Eligible Faculty action is required?**

Committee of the Eligible Faculty reviews the dossier, meets with division/unit director, develops a summary evaluation based on the AP&T criteria document of the department, and votes on the candidate. The summary of the AP&T assessment and numerical vote shall be forwarded to the Department Chair.

**What Department Chair action is required?**

The Department Chair or appointed designee reviews the candidate's record and develops a summary. If a designee is appointed, the record and summary will be forwarded to the Department Chair for final review. The Department Chair reviews materials, prepares a written evaluation with recommendations, and meets face-to-face with the faculty member. The faculty member shall be notified of their right to place comments in the dossier regarding the evaluation. In the case of a negative review and a decision not to reappoint the candidate, the candidate shall be notified by February 15. Recommendations for promotion must be forwarded on to the College's Committee of Eligible Faculty for further approvals.

**How is the annual evaluation documented?**

The annual review is documented in a letter from the Department Chair and may include comments from the candidate, if provided, and is part of the permanent employee record and is included in the dossier for reappointment and/or promotion.

**H. Associated Faculty**

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The department chair, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. The department chair's recommendation on renewal of the appointment is final. If the recommendation is to renew, the department chair may extend a multiple year appointment.

Compensated associated faculty members on a multiple year appointment are reviewed annually by the department chair, or designee. The department chair, or designee, prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. No later than October 15 of the final year of the appointment, the chair will decide whether or not to reappoint. The department chair's recommendation on reappointment is final.

## **V. Merit Salary Increases and Other Rewards**

### **A. Criteria**

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

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

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

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

### **B. Procedures**

Salary recommendations and other rewards are determined by the Department Chair, based on faculty achievement within the context of the current budget and individual performance during the past year and the Department Chair's review of teaching, scholarship and service and in the case of division/unit directors, administrative accomplishments. Merit salary decisions are made in the Summer Semester based on the faculty member's dossier for the academic year and the evaluations outlined in Section IV of this document.

## **C. Documentation**

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

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

Any published materials presented for consideration should be in the form of reprints, photocopies of journal articles, or other final form that documents actual publication. An author's manuscript does not document publication.

Under no circumstances should faculty solicit evaluations from any party for purposes of the annual review, as such solicitation places its recipient in an awkward position and produces a result that is unlikely to be candid.

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

## **VI. Promotion and Tenure and Promotion Reviews**

### **A. Criteria**

Outlined below are the Department of Biomedical Education and Anatomy's formal criteria for academic advancement, including promotion on each faculty appointment type and awarding of tenure. In evaluating a candidate's qualifications in teaching, scholarship, and service, reasonable flexibility will be exercised. As the Department, College and University continues to diversify and place new emphasis on interdisciplinary endeavors and program development, instances will arise in which the proper work of a faculty member may depart from established academic patterns, especially with regard to awarding tenure. Thus, care must be exercised to apply criteria flexibly, but without compromise in requiring the essential qualifications for promotion. Insistence upon this high standard for faculty is necessary for the maintenance and enhancement of the University as an institution dedicated to the discovery and transmission of knowledge.

Although institutional citizenship and collegiality cannot be used as an independent criterion for promotion or tenure, these positive attributes characterize the ability of a faculty member to effectively contribute to exemplary scholarship, teaching and service. A commitment to these values and principles can be demonstrated by constructive responses to and participation in Departmental, College and University initiatives. Examples include participation in faculty governance, outreach and service, ethical behavior, adherence to principles of responsible conduct of research, constructive conduct and behavior during the discharge of duties, responsibilities and authority, and the exercise of rights and privileges of a member of the faculty as reflected in the “Statement of Professional Ethics” of the American Association of University Professors.

Annually, the Office of Academic Affairs establishes specific guidelines, procedures, and schedules for the review of candidates for promotion and tenure. The Dean of the College of Medicine also establishes and communicates the latest date for the receipt of dossiers for annual consideration by the College. Upon receipt of a candidate’s dossier, the Department Chair will submit the dossier to the Dean of the College of Medicine, who, in turn, will review the dossier and submit it to the College’s Appointments, Promotion and Tenure Advisory Committee for formal review. The committee will review the dossier and convey to the Dean in writing a recommended action to be taken. The Dean will consider the recommendations of the committee and will convey, in writing, a recommended action to the Executive Vice President and Provost and Department Chair.

## **1. Promotion of Tenure Track Faculty**

### **a. Promotion to Tenure Track Associate Professor**

Tenure is not granted below the rank of Associate Professor (Faculty Rule 3335-6-02B). Faculty Rule 3335-6-02C states that “The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high quality teaching, scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university. Promotion to the rank of associate professor must be based on convincing evidence that the faculty member has a sustained record of excellence in teaching; has produced a significant body of scholarship that is recognized nationally or internationally; and has demonstrated leadership in service.”

Achievement of a national reputation is a prerequisite for promotion to Associate Professor and awarding of tenure. Objective examples of a national reputation include service on NIH or equivalent contract or grant review panels, service on AAMC/ACGME steering or advisory committees, participation on federal steering, guideline or advisory committees, selection for service in a national professional society, invitation for lectureships or scholarly reviews, receipt of national awards, external letters of evaluation and other measures of national impact.

### **i. Specific Criteria for Promotion to Tenure Track Associate Professor**

The criteria for promotion are divided into three categories that include teaching, scholarship, and service. The specifics of each of these criteria are outlined below.

**Teaching.** A distinctive record of teaching and mentoring excellence is required for promotion and tenure. Excellence is demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching awards and other honors are also highly supportive of teaching excellence. A faculty member may also demonstrate a favorable impact on teaching and training programs, including curricular innovation, new teaching modalities or methods of evaluating teaching, and program or course development. Development of impactful, innovative programs that integrate teaching, research and patient care are valued.

Teaching excellence is most commonly demonstrated in this track through evaluations and peer feedback based on presentations at other academic institutions, presentations or tutorials academic conferences or meetings, presentations at other medical centers or hospitals, and the like. Active participation as a mentor in training or education grants such as NIH T32 or K-awards F31, F32 or other mentored fellowship awards or contracts for trainees is highly valued as a teaching and mentoring activity. In addition, the overall productivity of a faculty member's mentored trainees including, but not limited to, poster presentations, platform presentations and publications may also provide a benchmark for teaching and mentoring excellence.

The following are considered Required Teaching Criteria for the Department of Biomedical Education and Anatomy.

- Teach assigned courses, including annual updating of course content.
- Serve assigned roles in supervising and mentoring students.

- Demonstrate excellence in teaching as evaluated by peers, students, administrators, consultants, and others as deemed appropriate.

All faculty must provide evidence of excellence in teaching. Examples of specific metrics for demonstrating excellence in teaching are provided in Table 1 below.

**Scholarship.** Scholarship is broadly defined as the discovery and dissemination of new knowledge. For the purpose of this document, scholarship is specifically defined as the achievement of local, regional, national and international recognition in the faculty member's area of expertise including, but not limited to, education, basic science, clinical and translational research. Achievement of excellence in scholarship is demonstrated by discovery of a substantial body of original knowledge that is published in high quality, peer-reviewed journals or proceedings, and achievement of a national reputation for expertise and impact in one's field of endeavor. Such endeavors might include laboratory investigation, development of innovative programs, theoretical insight, innovative interpretation of an existing body of knowledge, clinical science, public health and community research, implementation science, and diffusion research, among many potential others. While individual circumstances may vary, both the quantity and quality of publications should be considered. A sustained record of high quality and quantity of scholarly productivity as an assistant professor is required for promotion to the rank of associate professor or professor.

Specific metrics in support of excellence in scholarship may be discipline-specific. For example, Education (Clinical) Faculty will have less time available for research than basic, clinical and translational Tenure Track Faculty and appropriate adjustments of these criteria should be made. The range of publications may be slightly adjusted in relation to the proportion of the faculty member's effort that is allocated to education and clinical service.

Recognition of the ability to pursue or direct an independent program of inquiry does not diminish the high value placed on collaborative scholarly efforts within the Department, College and University. Participation in collaborative, multidisciplinary research and team science is highly valued. While individual circumstances may vary, both the quantity and quality of publications should be considered. Due to the extensive variation in disciplines encompassed by the Department, it is difficult to establish expectations for journal impact factors or other metrics such as the H-index. However, all members of the faculty should strive to publish in the highest quality journals in their field and should provide indication of the relative

caliber of those journals in their discipline. The number of times a journal article is cited is further evidence of a paper's impact. A sustained record of high quality and quantity of scholarly productivity as an Assistant Professor is required for promotion to the rank of Associate Professor. Specific metrics in support of excellence in scholarship may be discipline-specific. For example, clinician investigators will have less time available for research than basic investigators and appropriate adjustments of these criteria should be made. The range of publications may be slightly adjusted in relation to the proportion of the faculty member's effort that is allocated to clinical service. Participation in collaborative, multidisciplinary research and team science is highly valued, especially to the extent that a faculty member's record of collaborative scholarship includes manuscripts on which authorship is first, senior, or corresponding; or the individual input of the faculty member as a middle author is uniquely contributory and clearly evident.

The following are considered Required Scholarship Criteria for the Department of Biomedical Education and Anatomy.

- Evidence of a focused, thematic area of scholarship with demonstration of local, regional and national impact and recognition.
- Actively seek and demonstrate success in obtaining internal and/or external funding for their program of scholarship. Attaining a priority score or other indicator of quality in a grant or contract submitted may be considered in lieu of funding when the dossier clearly demonstrates that the candidate's publication record and other evidence of excellence in scholarship has produced a growing national reputation.
- Demonstrate a sustained publication record in peer-reviewed journals and proceedings, including a substantial proportion as first or senior author, based on scholarship conducted while a faculty member in the department.

All faculty must provide evidence of excellence in scholarship. Examples of specific metrics for demonstrating excellence in scholarship are provided in Table 1 below.

**Service.** Faculty are expected to actively participate in academic and professional service. Successful candidates for promotion to Tenure Track Associate Professor shall serve on departmental and college committees and shall participate in other activities in support of the missions of the department and college. This basic level of required service may be enhanced by serving on College and University

committees, advising student organizations, or organizing symposia and programs in their area of expertise.

The faculty member shall participate in academic and professional service activities at the local, regional, and/or national level. Faculty will promote academic rigor by serving as a manuscript and/or abstract reviewer at the local, regional, and/or national level or engage in similar activities in support of their profession. This basic level of expected service may be enhanced by other service at the local, regional, national, or international level, such as elected or appointed office, participation in program planning, professional consultation, delivery of patient care, or involvement in accreditation and credentialing activities.

Faculty may also provide service within the community as members or leaders in various organizations, by participating in volunteer activities, or through engagement in other ways that make a positive professional contribution. There should be evidence of excellence in service as reflected by the specific criteria listed in the Table 1 below.

<b>Table 1</b>	
<b>Criterion for Promotion to Tenure Track Associate Professor</b>	
<b>Teaching Excellence Criterion</b>	
<b>Base Criteria</b>	
<ul style="list-style-type: none"> <li>• Peer classroom evaluations (generally at or above unit average)</li> <li>• Student Evaluation of Instructor scores (generally at or above unit average)</li> <li>• Majority of external evaluation of teaching materials sent out for review and rating that are in support of promotion</li> <li>• Recognition for mentoring/advising student research.</li> <li>• Successful course and instructional program development and implementation</li> <li>• Teaching awards</li> </ul>	
<b>National Impact Criteria</b>	
<ul style="list-style-type: none"> <li>• Continuing education lectures at state and national meetings</li> <li>• Teaching awards given by the COM.</li> <li>• Invited presentations or peer reviewed presentations</li> <li>• Scholarship in Teaching</li> <li>• Training grants or educational grants</li> <li>• Authoring book chapters or books</li> </ul>	



## **Scholarship Excellence Criterion**

### **Productivity Criterion**

- 12-15 Peer reviewed publications or equivalent since appointment as Tenure Track Assistant Professor<sup>1</sup>
- Presented abstracts at local, regional or national meetings

### **Focus & Independence Criterion**

- 6-8 first or senior authored peer-reviewed publications or equivalent since appointment as Tenure Track Assistant Professor
- The majority of publications, presentations and grants align with faculty member's scholarship focus

### **Sustainability Criterion**

- PI on 1-2 peer-reviewed nationally competitive extramural grants that support the faculty member's scholarship across multiple years<sup>2</sup>
- 2-3 submitted nationally competitive grants or contracts that are scored
- PI on 1-2 nationally competitive contracts that support the faculty member's scholarship across multiple years
- Co-I on multiple nationally competitive peer reviewed grants or contracts that support the faculty member's scholarship across multiple years
- Patented products
- Participation in national training grants or contracts

### **National Impact Criterion**

- Invited local, regional & national presentations
- Number of citations or H index
- Publication in top journals in faculty member's area of scholarship
- Local, regional or national research awards and recognition
- Member of federal agency review panel for grants or contracts
- Major author or editor of books or chapters in the area of scholarship
- Entrepreneurial accomplishments linked to the scholarship such as patents, invention disclosures and similar reports

## **Service Excellence Criterion**

### **Base Criterion**

- Elected or appointed offices for local, regional or national professional societies related to the faculty member's scholarship
- Outreach and service learning grants
- Service to promote diversity
- Participation in department, college, or university committees, task forces, and councils
- Participation in program planning, program accreditation or program

outcome assessment

- Reviewer for 2-3 professional journals related to the faculty member's scholarship
- Journal Review Board member
- Grant review for university competitions or regional level competitions
- Consultation, patient care
- Participation in student service

<sup>1</sup> In the field of Bioethics book authorship may be more heavily weighted than peer reviewed publications

<sup>2</sup> In the field of Bioethics philanthropy and educational program development may be more heavily weighted than competitive grants

## **b. Promotion to Tenure Track Professor**

According to Faculty Rule 3335-6-02, promotion to the rank of Tenure Track 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 national leadership in service.

For teaching, scholarship, and service, the same categories of activities listed as required for the associate professor apply for the promotion to Tenure Track Professor. Likewise, the same types of activities can be listed as evidence of excellence for both. For promotion to Tenure Track Professor, the whole career will be assessed. The expectation is that the level of accomplishment will be consistent during the period after promotion to Tenure Track Associate Professor, such that productivity will have been sustained or increased since that promotion.

### **i. Specific Criteria for Promotion to Tenure Track Professor**

The criteria for promotion are divided into three categories that include teaching, scholarship, and service. The specifics of each of these criteria are outlined below.

#### **Teaching**

- All criteria for Tenure Track Associate Professor apply
- Demonstrated excellence in post-professional or graduate teaching.

- National or international teaching excellence such as invited teaching for other departments, colleges, or universities

**Scholarship**

- All criteria for Tenure Track Associate Professor apply
- Demonstrate a sustained record of peer-reviewed, nationally competitive funding for the program of scholarship
- Demonstrate sustained record of publication in national and international peer-reviewed journals in the faculty member’s area of scholarship, with a substantial portion of those publications as first or senior author

**Service**

- There should be evidence of excellence in service at the national and/or international level

Representative criterion for excellence in teaching, scholarship and service for promotion to Tenure Track Associate Professor include all of the criterion outlined in Table 1 for Promotion to Tenure Track Associate Professor as well as the following additional criteria outlined in Table 2.

<b>Table 2</b>	
<b>Criterion for Promotion to Tenure Track Professor</b>	
<b>Teaching Excellence Criterion</b>	
<b>Base Criteria</b>	
<ul style="list-style-type: none"> <li>• Professional and graduate level advising awards or high ratings</li> <li>• Professional and graduate student success and awards</li> <li>• Leadership in course development, curricular design and program evaluation</li> </ul>	
<b>International Impact Criteria</b>	
<ul style="list-style-type: none"> <li>• Presentations at national and international meetings or conferences</li> <li>• Positive teaching evaluations from national audiences</li> <li>• Teaching awards from the College or University</li> <li>• Invited national and international presentations</li> <li>• Participation in training or educational grants</li> <li>• Authoring books or book chapters</li> </ul>	
<b>Scholarship Excellence Criterion</b>	
<b>Productivity Criterion</b>	
<ul style="list-style-type: none"> <li>• 12-14 peer reviewed publications or equivalent since appointment as</li> </ul>	

<p>Tenure Track Associate Professor<sup>1</sup></p> <ul style="list-style-type: none"> <li>Presented abstracts at national and international meetings</li> </ul> <p><b>Focus &amp; Independence Criterion</b></p> <ul style="list-style-type: none"> <li>10-12 first or senior authored peer-reviewed publications or equivalent since appointment as Tenure Track Assistant Professor</li> </ul> <p><b>Sustainability Criterion</b></p> <ul style="list-style-type: none"> <li>PI on 2-3 peer-reviewed nationally competitive extramural grants that support the faculty member's scholarship across multiple years<sup>2</sup></li> <li>PI on 2-3 nationally competitive contracts that support the faculty member's scholarship across multiple years</li> </ul> <p><b>International Impact Criterion</b></p> <ul style="list-style-type: none"> <li>Invited national and international presentations</li> <li>National and international presentations at meetings</li> <li>National or international research awards and recognition</li> </ul>
<p style="text-align: center;"><b>Service Excellence Criterion</b></p> <p><b>Base Criterion</b></p> <ul style="list-style-type: none"> <li>Elected or appointed offices for national and international professional societies related to the faculty member's scholarship</li> <li>Leadership roles in outreach and service learning grants</li> <li>Service to promote diversity</li> <li>Editorial board member of professional journals related to the faculty member's scholarship</li> <li>Grant reviewer for national organization or federal agencies</li> <li>Leadership in patient care or consultation</li> <li>Leadership in student service organizations</li> </ul>

<sup>1</sup> In the field of Bioethics book authorship may be more heavily weighted than peer reviewed publications

<sup>2</sup> In the field of Bioethics philanthropy and educational program development may be more heavily weighted than competitive grants

## 2. Promotion of Education (Clinical) Faculty

The Department recognizes the potential for faculty members whose primary mission is teaching and educational scholarship in conjunction with service. In general, these faculty will commit minimum of 70% of their effort towards teaching with the remaining balance of their efforts divided between educational scholarship and service. The faculty member's scholarship will be judged on appropriate examples of the standards for excellence in educational scholarship as described in the following sections.

### **a. Criteria for Promotion from Education Instructor to Education (Clinical) Assistant Professor**

Appointments at the rank of Instructor are not renewable past the initial three-year appointment. An Education Instructor must show annual progress toward meeting or exceeding the criteria for promotion to Education (Clinical) Assistant Professor as outlined below. Promotion to Education (Clinical) Assistant Professor is based upon successful completion of the doctorate or other terminal degree and/or clinical credentials, and meeting or exceeding the criteria for appointment as an Education (Clinical) Assistant Professor. Contracts for Education (Clinical) Assistant Professor's are usually from 3-5 years. Progress towards meeting these criteria will be the focus of the annual review and include:

#### **Education**

1. Teach assigned courses including periodic updating of content; supervise and /or coordinate lab/clinical/practice experiences
2. Have a record of excellence in teaching such as:
  - Receive consistently high-level evaluations of teaching performance by peers, students, administrators, consultants, and others
  - Receive recognition or awards for distinguished teaching and/or other educational accomplishments
  - Participate in the development of new courses or curricula
  - Publish material of an educational or instructional nature or give evidence of production of other forms of teaching materials (e.g., videotapes, computer programs, laboratory manuals)
  - Develop creative or innovative approaches to teaching e.g., problem-based learning, distance education, and service –learning courses
  - Offer or direct continuing education programs for local, state, or national organizations
  - Participate as an invited speaker at the state, regional or national level
  - Demonstrate excellence in honors student advisement/education.

#### **Scholarship**

3. Have a record of contributing to educational scholarship and productivity
  - Contributing authorship to peer-reviewed publications, review papers, books, book chapters, or case studies in educational scholarship
  - Contributing to grantsmanship in educational scholarship

- Making local, regional and national scholarly presentations in educational scholarship

**Service**

4. Perform an equitable share of service and administrative tasks in compliance with department, college and university policies and procedures
5. Have a record of effective service such as:
  - Professional practice activities
  - Leadership in local, regional or national professional organizations
  - Active contributions to, departmental, college and university student services
  - Outreach and diversity service
  - Program planning or program accreditation
  - Receive recognition for service at the departmental, college, university or professional levels

**b. Criteria for Renewal of Education (Clinical) Assistant Professor**

The faculty member must show annual progress toward meeting or exceeding the criteria for promotion to Education (Clinical) Assistant Professor. Renewal criteria for an Education (Clinical) Assistant Professor are the same as outlined above in Section (a) Criteria for Promotion from Education (Clinical) Instructor to Education (Clinical) Assistant Professor. Expectations for educational research should reflect the time allotted for scholarship. Renewal contracts are generally for 3-5 years and issued in the penultimate year of the faculty member's current contract.

**c. Criteria for Promotion from Education (Clinical) Assistant Professor to Education (Clinical) Associate Professor**

Promotion to Education (Clinical) Associate Professor must be based upon clear and convincing evidence that the candidate has established a national reputation and demonstrated an impact on the field of education through teaching, scholarship, and service. The usual workload distribution of an Education (Clinical) Associate Professor is 70% teaching; 20% scholarship and 10% service. Since the appointment to the rank of Education (Clinical) Assistant Professor, the faculty member has:

1. Performed an equitable share of teaching, scholarship and service or administrative tasks in compliance with departmental, college and university policies and procedures.
2. Established a strong record of teaching excellence as demonstrated by consistent positive evaluations by students, external evaluators, and peers, which may include awards or other recognitions. In addition to teaching evaluations, the faculty member should demonstrate substantial impact on the teaching programs, which may include innovations or program development.
3. Demonstrated multiple contributions to educational scholarship as reflected by publication of case reports, book chapters, participation in grantsmanship, research projects or clinical trials, or contributions as contributing author on peer-reviewed journal publications, or presentations at local, regional and national professional meetings.
4. Established a record of leadership in service to the department, college, university, which may include active participation in professional societies, or other organizations relevant to the mission of the department.

Table 3 summarizes examples of metrics used to assess faculty for promotion to Education (Clinical) Associate Professor.

<b>Table 3</b>	
<b>Criterion for Promotion to Education (Clinical) Associate Professor</b>	
<b>Teaching Excellence Criterion</b>	
<b>Base Criteria</b>	
<ul style="list-style-type: none"> <li>• Peer classroom evaluations (generally at or above unit average)</li> <li>• Student Evaluation of Instructor scores (generally at or above unit average)</li> <li>• Majority of external evaluation of teaching materials sent out for review and rating that are in support of promotion</li> <li>• Recognition of mentoring/advising graduate students, instructors.</li> <li>• Successful course and instructional program development and implementation</li> <li>• Teaching awards</li> </ul>	
<b>Clinical Education Criteria</b>	
<ul style="list-style-type: none"> <li>• Peer evaluations of clinical education (generally at or above unit average)</li> </ul>	

- Student evaluation of clinical education (generally at or above unit average)
- External evaluation by affiliated clinical sites that are in support of promotion
- Recognition for mentoring/advising of clinical preceptors
- Recognition for or development of an innovative clinical education programs
- Recruitment and/or retention of clinical faculty and sites

**National Impact Criteria**

- Continuing education lectures at state, regional or national meetings
- Teaching awards given by Department, College, University or Professional Associations.
- Invited local, regional and national presentations or peer reviewed presentations

**Scholarship Excellence Criterion**

**Productivity Criterion**

- 6 or more peer reviewed publications or equivalent since appointment as Education (Clinical) Assistant Professor
- Presented abstracts at local, regional and national meetings

**Focus & Independence Criterion**

- 3-5 co-authored peer-reviewed publications or equivalent since appointment as Education (Clinical) Assistant Professor including first or senior author
- The majority of publications, presentations and grants align with faculty member's scholarship focus

**Sustainability Criterion**

- Ongoing funded position within a program of sustainable scholarship
- Co-I on nationally competitive peer reviewed grants or contracts that support the faculty member's scholarship across multiple years
- Patented products
- Federal training grant participation

**National Impact Criterion**

- Invited local, regional & national presentations
- Publication in top journals in faculty member's area of scholarship
- Local, regional or national scholarship awards and recognition
- Member of federal/national agency review panel for grants or contracts
- Major author or editor of books or chapters in the area of scholarship
- Federal/national training grant participation

**Service Excellence Criterion**



**Base Criterion**

- Elected or appointed offices for national professional societies related to the faculty member's scholarship
- Leadership roles in outreach and service learning grants
- Service to Promote Diversity
- Reviewer for 2-3 professional and scientific journals
- Grant reviewer for local, regional or national organizations
- Leadership in patient care or consultation
- Leadership in student service organizations

**d. Criteria for Renewal of Education (Clinical) Associate Professor**

The faculty member must show annual progress toward meeting or exceeding the criteria for promotion to Education (Clinical) Associate Professor. Renewal criteria for an Education (Clinical) Associate Professor are the same as outlined above in Table 3. Renewal contracts are generally for 3-5 years and issued in the penultimate year of the faculty member's current contract.

**e. Criteria for Promotion from Education (Clinical) Associate Professor to Education (Clinical) Professor**

Promotion to Education (Clinical) Professor must be based upon clear and convincing evidence that the candidate has established a national and international reputation and demonstrated an impact on the field of education through teaching, scholarship and service. Since the appointment to the rank of Education (Clinical) Assistant Professor, the faculty member has:

1. Performed an equitable share of teaching, scholarship and service or administrative tasks in compliance with departmental, college and university policies and procedures.
2. A sustained record of excellence in teaching as demonstrated by consistent positive evaluations by students, external peers, and peers. Candidates for promotion to professor should also demonstrate accomplishment in educational leadership as reflected by development of courses or programs, or other educational innovations.
3. A sustained record of leadership in educational scholarship as reflected by multiple publications of case reports, book chapters, books, participation in grants, research projects, or clinical trials, or contributions as a contributing author on peer-reviewed journal publications.

4. A sustained record of leadership in service to the Department, College, University and Profession, which may include national professional societies or other national organizations relevant to the mission of the department.

Table 4 summarizes examples of metrics used to assess faculty for promotion to Education (Clinical) Associate Professor.

<b>Table 4</b> <b>Criterion for Promotion to Education (Clinical) Professor</b>
<b>Teaching Excellence Criterion</b>
<p><b>Base Criteria</b></p> <ul style="list-style-type: none"> <li>• Peer classroom evaluations (generally at or above unit average)</li> <li>• Student Evaluation of Instructor scores (generally at or above unit average)</li> <li>• Professional and graduate level advising awards or high ratings</li> <li>• Professional and graduate student success and awards</li> <li>• Leadership in course development, curricular design and program evaluation</li> </ul> <p><b>Clinical Education Criteria</b></p> <ul style="list-style-type: none"> <li>• Peer evaluations of clinical education (generally at or above unit average)</li> <li>• Student evaluation of clinical education (generally at or above unit average)</li> <li>• External evaluation by affiliated clinical sites that are in support of promotion</li> <li>• Recognition for mentoring/advising of clinical preceptors</li> <li>• Recognition for or development of an innovative clinical education programs</li> <li>• Recruitment and/or retention of clinical faculty and sites</li> </ul> <p><b>International Impact Criteria</b></p> <ul style="list-style-type: none"> <li>• Presentations at national and international meetings or conferences</li> <li>• Positive teaching evaluations from national audiences</li> <li>• Teaching awards from the College or University</li> <li>• Invited national and international presentations</li> <li>• Participation in training or educational grants</li> <li>• Authoring books or book chapters</li> </ul>
<b>Scholarship Excellence Criterion</b>

**Productivity Criterion**

- Total of 12 or more peer reviewed publications or equivalent with 6 or more since appointment as Education Associate Professor
- Presented abstracts at national and international meetings

**Focus & Independence Criterion**

- Publication in books or journals with an impact at the national and international level.
- A majority of publications, presentations or grants align with candidate's scholarship focus

**Sustainability Criterion**

- Co-I on peer-reviewed nationally competitive extramural grants, contracts, foundations or private funding sources that support the faculty member's scholarship across multiple years
- Patented products
- Participating member of training or programmatic grants or contracts

**International Impact Criterion**

- Invited national and international presentations
- National and international presentations at meetings
- Publication in preeminent journals for faculty member's area of expertise
- National or international education scholarship awards
- Invited to a review panel or editorial board for a journal in faculty member's area of expertise
- Major author or editor of books or chapters in the area of faculty member's area of expertise

**Service Excellence Criterion****Base Criterion**

- Elected or appointed offices for national and international professional societies related to the faculty member's scholarship
- Leadership roles in outreach and service learning grants
- Service to promote diversity
- Participation in College or University committees, task forces and councils
- Leadership role in program development, program accreditation or program outcome assessment
- Editorial board member of professional journals related to the faculty member's scholarship
- Grant reviewer for national or international organization or federal agencies
- Leadership in patient care or consultation
- Leadership in student service organizations

#### **f. Criteria for Renewal of Education (Clinical) Professor**

The faculty member must show annual progress toward meeting or exceeding the criteria for promotion to Education (Clinical) Professor. Renewal criteria for an Education (Clinical) Professor are the same as outlined above in Table 4. Expectations for educational research should reflect the time allotted for scholarship. Renewal contracts are generally for 3-5 years and issued in the penultimate year of the faculty member's current contract.

#### **4. Promotion of Research Faculty**

The criteria for promotion in the Research focus principally on the category of scholarship and the standards are comparable to those used for the Tenure Track for each faculty rank, with the exception that a higher level of productivity in scholarship will be expected in the Research Track.

##### **a. Criteria for Renewal of Research Assistant Professor**

For renewal, the faculty member must show annual progress toward meeting or exceeding the criteria for appointment to Research Assistant Professor found in section IV.A.4.b and promotion to Research Assistant Professor listed in the preceding section. Renewal contracts are generally for 3-5 years and issued in the penultimate year of the faculty member's current contract.

##### **b. Criteria for Promotion from Research Assistant Professor to Research Associate Professor**

The criteria for promotion of Research Faculty are identical to those for Tenure Track Faculty, with two important exceptions. First, there is no expectation for excellence in teaching for Research Faculty. Promotion will be made principally on excellence and productivity in scholarship/research. The second difference is that a higher level of productivity and impact in scholarship/research will be required of Research Faculty. Research Faculty have no teaching expectation and will normally have scholarship/research time in the 90 – 100% range, about twice that of a Tenure Track Faculty members in the Department. Therefore, the Research Faculty member should have about twice the productivity of the Tenure Track Faculty member. A consistent record of extramural funding through grants, contracts,

foundation monies or private monies that provides significant salary support is expected for promotion to a Research Associate Professor.

The research faculty member will also be expected to have a record of service aligned with the program of scholarship/research, such as service in reviewing for journals, granting or contract agencies. The overarching standard for promotion to a Research Associate Professor will be a local, regional and national reputation and impact for the faculty member’s program of scholarship/research. The specific criteria for promotion to a Research Associate Professor are outlined in Table 5 below.

<b>Table 5</b>	
<b>Criterion for Promotion to Research Associate Professor</b>	
<b>Teaching Excellence Criterion</b>	<b>None Expected</b>
<b>Scholarship Excellence Criterion</b>	
<b>Productivity Criterion</b>	
<ul style="list-style-type: none"> <li>• 24-30 Peer reviewed publications or equivalent since appointment as Tenure Track Assistant Professor</li> <li>• Presented abstracts at local, regional or national meetings</li> </ul>	
<b>Focus &amp; Independence Criterion</b>	
<ul style="list-style-type: none"> <li>• 12-15 first or senior authored peer-reviewed publications or equivalent since appointment as Tenure Track Assistant Professor</li> <li>• The majority of publications, presentations and grants align with faculty member’s scholarship focus</li> </ul>	
<b>Sustainability Criterion</b>	
<ul style="list-style-type: none"> <li>• PI on 1-2 peer-reviewed nationally competitive extramural grants that support the faculty member’s scholarship across multiple years</li> <li>• PI on 1-2 nationally competitive contracts that support the faculty member’s scholarship across multiple years</li> <li>• Co-I on multiple nationally competitive peer reviewed grants or contracts that support the faculty member’s scholarship across multiple years</li> <li>• Patented products</li> <li>• Participation in national training grants or contracts</li> </ul>	
<b>National Impact Criterion</b>	
<ul style="list-style-type: none"> <li>• Invited local, regional &amp; national presentations</li> <li>• Number of citations or H index</li> </ul>	

<ul style="list-style-type: none"> <li>• Publication in top journals in faculty member’s area of scholarship</li> <li>• Local, regional or national research awards and recognition</li> <li>• Member of federal agency review panel for grants or contracts</li> <li>• Major author or editor of books or chapters in the area of scholarship</li> <li>• Entrepreneurial accomplishments linked to the scholarship such as patents, invention disclosures and similar reports</li> </ul>
<p><b>Service Excellence Criterion</b></p> <p><b>Minimal Expectation in Following Criteria</b></p> <ul style="list-style-type: none"> <li>• Elected or appointed offices for local, regional or national professional societies related to the faculty member’s scholarship</li> <li>• Participation in scholarship-based departmental, College and University committees (i.e. IACUC, IRB, etc.)</li> <li>• Reviewer for 2-3 professional journals related to the faculty member’s scholarship</li> <li>• Grant or contract review for local, regional or national organizations</li> </ul>

**c. Criteria for Renewal of Research Associate Professor**

For renewal, the faculty member must show annual progress toward meeting or exceeding the criteria for appointment to Research Associate Professor found in section IV.A.4.b and promotion to Research Associate Professor listed in the preceding section and Table 5. Renewal contracts are generally for 3-5 years and issued in the penultimate year of the faculty member’s current contract.

**d. Criteria for Promotion from Research Associate Professor to Research Professor**

The awarding of promotion to the rank of Research Professor must be based upon clear and convincing evidence that the faculty member has developed a national or international leadership role and level of impact or recognition. As with promotion to Research Associate Professor, the criteria for promotion to Research Professor are the same as for Tenure Track Faculty at similar rank, with two exceptions. First, excellence in teaching is not required. Second, promotion will be based principally on excellence in scholarship/research. A higher level of productivity and impact in scholarship/research is required. Service activities should be minimal and related to the program of scholarship/research. The specific criteria for promotion to a Research Associate Professor are outlined in Table 6 below.

<b>Table 6</b>	
<b>Criterion for Promotion to Research Professor</b>	
<b>Teaching Excellence Criterion</b>	
<ul style="list-style-type: none"> <li>• <b>None Expected</b></li> </ul>	
<b>Scholarship Excellence Criterion</b>	
<b>Productivity Criterion</b>	
<ul style="list-style-type: none"> <li>• 12-14 peer reviewed publications or equivalent since appointment as Tenure Track Associate Professor</li> <li>• Presented abstracts at national and international meetings</li> </ul>	
<b>Focus &amp; Independence Criterion</b>	
<ul style="list-style-type: none"> <li>• 10-12 first or senior authored peer-reviewed publications or equivalent since appointment as Tenure Track Assistant Professor</li> </ul>	
<b>Sustainability Criterion</b>	
<ul style="list-style-type: none"> <li>• PI on 2-3 peer-reviewed nationally competitive extramural grants that support the faculty member's scholarship across multiple years</li> <li>• PI on 2-3 nationally competitive contracts that support the faculty member's scholarship across multiple years</li> </ul>	
<b>International Impact Criterion</b>	
<ul style="list-style-type: none"> <li>• Invited national and international presentations</li> <li>• National and international presentations at meetings</li> <li>• National or international research awards and recognition</li> </ul>	
<b>Service Excellence Criterion</b>	
<b>Base Criterion</b>	
<ul style="list-style-type: none"> <li>• Elected or appointed offices for national and international professional societies related to the faculty member's scholarship</li> <li>• Leadership roles in outreach and service learning grants</li> <li>• Service to promote diversity</li> <li>• Editorial board member of professional journals related to the faculty member's scholarship</li> <li>• Grant reviewer for national organization or federal agencies</li> <li>• Leadership in patient care or consultation</li> <li>• Leadership in student service organizations</li> </ul>	

**e. Criteria for Renewal of Research Professor**

For renewal as Research Professor, the faculty member must show annual progress toward meeting or exceeding the criteria for appointment to Research Professor found in section IV.A.4.b and promotion to Research Professor listed in the preceding section and Table 6. Renewal contracts are generally for 3-5 years and issued in the penultimate year of the faculty member's current contract.

## **B. Procedures**

The department's procedures for promotion and tenure reviews are in accordance with Faculty Rule 3335-6-04 for Tenure Track Faculty and 3335-7-05 for Clinical and Research Faculty.

### **1. Tenure Track Faculty**

#### **a. General Considerations**

The Department of Biomedical Science and Anatomy will follow these general procedures that are consistent with Faculty Rule [3335-6-04](#):

- The Office of Academic Affairs defines the format and outline of a document, called a dossier, to be used for the documentation of accomplishments by all faculty members to be reviewed for promotion and tenure and by all probationary Tenure Track Faculty for annual reviews. Information from the Office of Academic Affairs also explains the review process at the College and University level, information about any legal considerations affecting promotion and tenure evaluations, examples of criteria by which faculty members for promotion and tenure are evaluated and other information useful to the faculty member and the Department for carrying out reviews. Faculty members are encouraged to consult the [Office of Academic Affairs website](#).
- All Faculty members for promotion and tenure are reviewed by the eligible faculty on the Committee of Eligible Faculty and by the Department Chair. Faculty members will also be reviewed at the College and University levels. The Department Chair is responsible for informing the faculty member in writing of the Provost's final decision (if negative) or recommendation to the Board of Trustees (if positive).



- The review for tenure during the penultimate year of a probationary period is mandatory and must take place. A faculty member may ask to be considered for non-mandatory promotion and tenure review or for promotion review at any time; however, the Department's Committee of Eligible Faculty may decline to put forth a faculty member for formal non-mandatory promotion and tenure review or promotion review if the faculty member's accomplishments are judged not to warrant such review. The Department's Committee of Eligible Faculty may not deny a tenured faculty member a formal review for promotion more than one year.
- Only the faculty member may stop any review for promotion and tenure once external letters of evaluation have been sought. The faculty member may withdraw from review at any stage of the process by so informing the Department Chair in writing. If the review process has moved beyond the Department, the Department Chair shall inform the dean or the Executive Vice President and Provost, as relevant, of the faculty member's withdrawal. Withdrawal from the mandatory tenure review during the penultimate probationary year means that tenure will not be granted.
- The candidate (tenure-track and clinical) is responsible to submit a copy of the department's APT Document that was in effect at the time of the candidate's hire or when the candidate was last promoted, whichever is more recent, if s/he wishes to be reviewed under that document's criteria and procedures. This must be submitted when the dossier is submitted to the department.

## **b. Review Procedures for Promotion**

### **i. Preparation of the Core of the Dossier**

The faculty member shall have primary responsibility for preparing a core dossier documenting their accomplishments. In the Department, faculty members are required to prepare the dossier as per the current University Guidelines (<http://oaa.osu.edu/handbook.html> ). It is the faculty member's responsibility to provide all clarifying documentation as needed.

### **ii. Completion of the Dossier**

The faculty member prepares the core of the dossier, but certain sections, such as external evaluations or reports from the Committee of Eligible Faculty of the Department, will not be completed by the faculty member. According to University

Rule 3335-6-04, the Department Chair has ultimate responsibility for completion of those sections of the dossier that are not completed by the faculty member.

For faculty in the Department who report directly to a Division/Unit Director, the authority granted by faculty rule 3335-6-04 (D) (4) permits the Department Chair to delegate responsibility for completion of certain portions of the dossier to the relevant Division/Unit Director for faculty members in that division/unit. The Department Chair will exercise oversight for this process and retains responsibility for completion of the remainder of the dossier.

Faculty in the Department, including Division/Unit Directors, may also report directly to the Department Chair. In this case, the portions of dossier that would be delegated to the Division/Unit Director will be delegated to a member of the College's Executive Committee in order to maintain a comparable process for all faculty regardless of administrative title.

**iii. Completion of the dossier includes the following steps:**

**Internal Evidence.** Each faculty member shall have an internal evaluation prepared as a written report for inclusion in the dossier. For faculty in a division/unit, the Division/Unit Director shall prepare this report. For a candidate who is a Division/Unit Director or who reports directly to the Department Chair, the College Executive Committee shall select an alternate from among the members of the College Executive Committee to serve in this role.

The Division/Unit Director or alternate shall gather internal evidence of the quality and effectiveness of teaching, quality and significance of scholarship, and quality and effectiveness of service from students and peers, as appropriate, within the Department, College and University. This shall include two or more summative peer evaluations of teaching. Evaluative comments should be sought from other units at the University in which the candidate has appointment or substantial professional involvement, whether compensated or not.

A course offered by the faculty member or equivalent solitary work product may be sent out for external review. This type of limited external review will be considered supporting evidence for internal or external reviews, not a full external review.

The Division/Unit Director or alternate shall submit a summative letter describing the faculty member's teaching, scholarship, and service. This written evaluation

shall be due by the close of business on the first regular business day on or after September 1.

**Review by the Committee of the Eligible Faculty.** The eligible members of the Committee of Eligible Faculty shall meet face-to-face to deliberate and to prepare a written report for the Department Chair providing the eligible faculty's assessment of quality and effectiveness of the candidate's teaching, quality and significance of scholarship, and quality and effectiveness of service. Prior to this meeting, a member of the Committee of Eligible Faculty shall verify the faculty member's publications as required for the dossier. For the meeting, a member will volunteer to be the procedures oversight designee.

Presentation of the case during the meeting shall be heard only by the eligible faculty of the Committee of Eligible Faculty. The presentation shall commence with an oral presentation by the internal evaluator (Division/Unit Director or alternate) of the written internal evaluation. Following this presentation, the Committee of Eligible Faculty will present a parallel assessment of the faculty member's accomplishments. The internal evaluator shall remain present for this presentation, so that any discrepancies in the faculty member's record of accomplishments may be resolved. At the conclusion of this portion of the review, the internal evaluator shall be excluded from further deliberations on the faculty member.

The eligible faculty of the Committee of Eligible Faculty shall then review and discuss the faculty member's accomplishments in teaching, scholarship, and service and shall vote on the faculty member. A written report of the Committee of Eligible Faculty's assessment, including both strengths and weaknesses, and the numerical vote of the Committee of Eligible Faculty shall be prepared by the Chair of the Committee of Eligible Faculty and forwarded to the Department Chair for inclusion in the dossier. This review shall be completed by October 31.

**Assessment by the Department Chair.** Once the report of the Committee of Eligible Faculty is added to the dossier, the Department Chair is responsible for preparing a separate written assessment of the case and recommendation for the Dean for inclusion in the dossier. This assessment shall be completed by November 15.

**External Letters.** The Division/Unit Director or alternate from the College Executive Committee (for Division/Unit Director or faculty reporting directly to the Department Chair) shall obtain letters from external evaluators.

Some of the external evaluators should be suggested by the faculty member and some chosen by the Division/Unit Director or Department Chair, with no more than one-half of the letters contained in the final dossier from persons suggested by the candidate. External evaluators must be able to provide an objective evaluation of the scholarly work of the faculty member. They may not be former advisors, collaborators, post-doctoral supervisors, close personal friends, or others having a relationship with the faculty member that can reduce objectivity. Once the list of external evaluators is determined, the faculty member shall be notified and given an opportunity to review the list before the materials are sent to the external evaluators. If the faculty member identifies anyone on the list that they believe cannot provide an objective opinion, the faculty member can request that an alternative evaluator be selected. The Division/Unit Director or Department Chair shall determine whether to grant this request or not. All solicited letters that are received must be included in the dossier. Unsolicited letters of evaluation or letters of evaluation solicited by anyone other than the approved external evaluators may not be included in the dossier.

A sample letter as provided in Appendix B shall serve as the text for each request for external evaluation. The faculty member's curriculum vitae along with 3 examples of scholarly work, typically peer-reviewed journal articles, shall be sent to the external reviewer. The faculty member will be allowed to select the examples of scholarly work being evaluated.

**Faculty Comments Process.** When the Committee of Eligible Faculty's report and Department Chair's letter have been completed, the faculty member shall be notified within one business day in writing of the completion of the Department's review and of the availability of these reports. The faculty member shall be provided a copy of these reports upon request. The faculty member may provide the Department Chair with written comments on the Department's review for inclusion in the dossier within ten calendar days of notification of the completion of the review. The Department's Committee of Eligible Faculty Chair and/or the Department Chair may provide written responses to the faculty member's comments for inclusion in the dossier. Only one iteration of comments on the Department's review is permitted.

**Forwarding the Dossier to the College.** When the dossier is complete, the Department Chair shall forward the dossier with all internal and external evaluations, faculty member comments on the Departments review and Department's Committee of Eligible Faculty and/or Department Chair responses to those comments, if any, to the Dean of the College. After review at the College, the dossier shall also be reviewed at the University level.

**Faculty with Joint Appointments.** Tenure Track Faculty may only have one Tenure Initiating Unit (TIU). Faculty with a joint appointment between two or more TIU's, with salary shared among them, shall have one TIU named as the primary home of the appointment. Faculty in this circumstance shall have a Memorandum Of Understanding (MOU) between the Chairs of the respective TIU's developed at the time of the initial appointment. For an example, see the following sample document from OAA- <http://oaa.osu.edu/forms.html>. This MOU shall indicate which department is the primary home of the faculty member as required by the University.

The AP&T document for the TIU that is the primary home shall serve as the document governing promotion and tenure decisions for that faculty member. The Chair(s) of the other TIU(s) shall (each) provide an evaluative letter of the faculty member's contributions. Evaluative letter(s) provided by the Chair(s) of the other TIU(s) will be included in the appropriate section of the dossier. The deadline for this shall conform to the deadline for the Chair of the home TIU, such that all evaluative letters are available at the time the faculty member is offered the opportunity to review the dossier in the comments process.

## **2. Department of Biomedical Education and Anatomy Faculty**

### **a. General Considerations**

According to Faculty Rule 3335-7-08, annual review, reappointment/non-reappointment, and promotion review procedures for Faculty shall be consistent with review procedures established for Tenure Track Faculty, including those set forth in rules 3335-6-03 and 3335-6-04 with the following exceptions:

- The College Dean's decision shall be final with respect to reappointment and non-reappointment and with respect to denial of promotion. In other words, there is no review at the University level for a negative decision.

- The University rules give the Department the option as to whether to require external evaluation of faculty. In the Department of Biomedical Education and Anatomy, external evaluations are a required part of the process for consideration of promotion. External evaluations are not solicited and will not be considered in the decision for reappointment vs. non-reappointment at the same rank at the end of a contract period.

#### **b. Initial Reappointment or Promotion at the End of the Probationary Period**

At the end of the year preceding the penultimate year of the probationary period, the Department Chair decides whether or not to recommend reappointment to the Committee of Eligible Faculty and shall notify the Faculty member in writing of the decision. There is no presumption that a new contract will be extended. If the decision is not to recommend reappointment, the final year of the probationary contract shall be the final year of employment.

If the decision of the Department Chair is to recommend reappointment, the decision must be reviewed by the Committee of Eligible Faculty during the penultimate year of the probationary contract. After the Department Chair's decision to seek reappointment, the Department Chair shall consult with the faculty member to determine whether to request reappointment at the same rank or to request reappointment with promotion to a higher rank. A faculty member may ask to be considered for promotion review; however, the Department's Committee of Eligible Faculty may decline to put forth a faculty member for promotion review if the faculty member's accomplishments are judged not to warrant such review. The Department's Committee of Eligible Faculty may not deny a tenured faculty member a formal review for promotion more than one year.

Both the Department Chair and the faculty member must concur for a decision to seek reappointment with promotion to a higher rank. If either party favors reappointment at the same rank without promotion, then that is how the request must go forward to the Committee of Eligible Faculty.

For initial reappointment of Faculty in the Department, the exact same procedures followed for promotion of Tenure Track Faculty will be followed with the following exceptions:

- The criteria for Faculty are described in section VII.A.4XXX.

- For reappointment without promotion, criteria at the current rank will be applied, with expectations for productivity commensurate with the time in rank and the time allotted for teaching, scholarship, and service.
- For promotion, criteria at the rank sought will be applied. While the tenet of flexibility will guide decisions for promotion, insufficient time allotted for teaching, scholarship, and service cannot justify lower standards in the baseline requirements for promotion.
- The recommendation from the Committee of Eligible Faculty level will take one of three possible outcomes:
  - Recommendation for non-reappointment. This would result if the faculty member has not satisfied the expectations for the current rank.
  - Recommendation for reappointment at the present rank. This would result if the faculty member has satisfied the expectations for the current rank but has not met the requirements for promotion to higher rank. This decision is possible for Faculty at any rank, except Instructor. This recommendation is possible for faculty for whom the Department Chair requested consideration of reappointment at the present rank or reappointment with promotion to a higher rank.
  - Recommendation for reappointment with promotion. This would result if the faculty member has satisfied the requirements for promotion to higher rank. The recommendation can be made only if the Department Chair requested consideration of reappointment with promotion to a higher rank and the appropriate procedures for promotion have been followed.
- The result of a positive initial reappointment or promotion decision for Faculty from the Department will be reviewed by the College Dean and at the University level.
- If the initial reappointment or promotion is approved at all levels, the result is the offering of a 3-5 year contract, not the award of tenure.
- If the initial reappointment is not approved, the final year of the probationary contract is the terminal year of employment.

### **c. Mid-Contract Promotion for Faculty After the Probationary Period**

A Faculty member in the Department who has already passed the probationary period may request consideration for promotion at any time during the current contract. The exact same procedures followed for Tenure Track Faculty promotions will be followed for Faculty promotions, with the following exceptions:

- The criteria for promotion of faculty are described in section VII.A.4 XXXXX.
- The result of a positive mid-contract promotion decision for Faculty is promotion. The decision as to whether to offer a new 3-5 year contract comes at the in the penultimate year of the present contract and is separate from the decision for promotion.
- A negative decision for promotion mid-contract does not affect the terms of the present contract.

The Department's Committee of Eligible Faculty may decline to put forth a faculty member for formal promotion review if the faculty member's accomplishments are judged not to warrant such review. The Department's Committee of Eligible Faculty may not deny a tenured faculty member a formal review for promotion more than one year.

#### **d. Consideration for Reappointment With or Without Promotion for Faculty at the end of a Non-Probationary Contract Period**

These procedures are the same as described above in VII.B.3.b for the initial reappointment with the one exception:

- External evaluation letters are required only if the faculty member is seeking promotion at the time of reappointment.

### **3. Research Faculty**

#### **a. General Considerations**

According to Faculty Rule 3335-7-36, annual review, reappointment/non-reappointment, and promotion review procedures for Research Faculty shall be consistent with review procedures established for Tenure Track Faculty, including those set forth in rules 3335-6-03 and 3335-6-04 with the following exceptions:

- The College Dean's decision shall be final with respect to reappointment and non-reappointment and with respect to denial of promotion. In other words, there is no review at the University level for a negative decision.
- The University rules give the Department the option as to whether to require external evaluation of faculty in the Research Track. In the Department, external evaluations are a required part of the process for consideration of promotion. External evaluations are not solicited and will not be considered



in the decision for reappointment vs. non-reappointment at the same rank at the end of a contract period.

#### **b. Initial Reappointment or Promotion at the End of the Probationary Period**

At the end of the year preceding the penultimate year of the probationary period, the Department Chair decides whether or not to recommend reappointment to the Committee of Eligible Faculty and shall notify the Research Faculty member in writing of the decision. There is no presumption that a new contract will be extended. If the decision is not to recommend reappointment, the final year of the probationary contract shall be the final year of employment.

If the decision of the Department Chair is to recommend reappointment, the decision must be reviewed by the Committee of Eligible Faculty during the penultimate year of the probationary contract. A faculty member may ask to be considered for promotion review at this time. However, the Department's Committee of Eligible Faculty may decline to put forth a faculty member for promotion review if the faculty member's accomplishments are judged not to warrant such review.

For initial reappointment of Research Faculty in the Department the exact same procedures followed for promotion of Tenure Track Faculty will be followed, with the following exceptions:

- The criteria for Research Faculty are described in section VII.A.4XXX.
  - For reappointment without promotion, criteria at the current rank will be applied.
  - For promotion, criteria at the rank sought will be applied.
- The recommendation from the Committee of Eligible Faculty level will take one of three possible outcomes.
  - Recommendation for non-reappointment. This would result if the faculty member has not satisfied the expectations for the current rank.
  - Recommendation for reappointment at the present rank. This would result if the faculty member has satisfied the expectations for the current rank but has not met the requirements for promotion to higher rank. This decision is possible for Research Faculty at any rank. This recommendation is possible for faculty for whom the Department Chair requested consideration of reappointment at the present rank or reappointment with promotion to a higher rank.

- Recommendation for reappointment with promotion. This would result if the faculty member has satisfied the requirements for promotion to higher rank. The recommendation can be made only if the Department Chair requested consideration of reappointment with promotion to a higher rank and the appropriate procedures for promotion have been followed.
- The result of a positive initial reappointment or promotion decision for Research Faculty from the school will be reviewed by the College Dean and at the University level.
- If the initial reappointment or promotion is approved at all levels, the result is the offering of a 3-5 year contract, not the award of tenure.
- If the initial reappointment is not approved, the final year of the probationary contract is the terminal year of employment.

### **c. Mid-Contract Promotion for Research Faculty After the Probationary Period**

A Research Faculty member in the Department who has already passed the probationary period may request consideration for promotion at any time during the current contract. The exact same procedures followed for Tenure Track Faculty promotions will be followed for Research Faculty promotions, with the following exceptions:

- The criteria for promotion of Research Faculty are described in section VII.A.4XXXX.
- The result of a positive mid-contract promotion decision for Research Faculty is promotion. The decision as to whether to offer a new contract comes at the end of the year prior to the penultimate year of the present contracts and is separate from the decision for promotion.
- A negative decision for promotion mid-contract does not affect the terms of the present contract.

The Department's Committee of Eligible Faculty may decline to put forth a Research Faculty member for promotion review if the faculty member's accomplishments are judged not to warrant such review. The Department's Committee of Eligible Faculty may not deny a Research Faculty member a formal review for promotion more than one year.

### **d. Consideration for Reappointment With or Without Promotion for Research Faculty at the end of a Non-Probationary Contract Period**

These procedures are the same as described above in VII.B.4.b for the initial reappointment with the one exception:

- External evaluation letters are required only if the candidate is seeking promotion at the time of reappointment.

#### **4. Associated Faculty**

Associated Faculty may apply for promotions in rank paralleling those of Tenure Track Faculty. The procedures for requesting such a promotion are as follows:

- The Associated Faculty shall submit a written request for promotion to the faculty member in the Department to whom they directly report (typically a Division/Unit Director). This request must be accompanied by documentation of the faculty member's accomplishments in a form sufficient for initial appointment at the higher rank (e.g., a C.V. or dossier) as specified in the appointments section of this document. The faculty member's letter requesting promotion should highlight their accomplishments since the initial appointment at the previous rank and explain why the promotion is warranted.
- The Division/Unit Director shall review the faculty member's accomplishments and request to determine whether the faculty member's record supports the promotion. If the Division/Unit Director supports the request, they shall prepare a written evaluation with a recommendation for the promotion and submit this along with the documentation of the faculty member's accomplishments to the Department Chair.
- If the request for promotion is not supported by the Division/Unit Director, a written explanation along with suggestions for ways to meet the criteria shall be provided in writing to the faculty member. In this case, the request for promotion will not be considered by the Department's Committee of Eligible Faculty. No new request for promotion from the faculty member shall be considered by the Division/Unit Director until the next academic year. At that time, whether or not the Division/Unit Director denies the requested promotion, the faculty member may request that the Committee of Eligible Faculty consider the case. In this event, the Division/Unit Director shall prepare a written evaluation of the faculty member's case for promotion along with a recommendation for or against the promotion. That evaluation

along with the faculty member's documentation submitted in support of the promotion shall be submitted to the Department Chair.

- Appointments to senior ranks (Associate Professor or Professor) require external evaluations of the faculty member's qualifications equivalent to those required for Tenure Track Faculty. The Division/Unit Director is responsible for arranging these external evaluations following procedures duplicating those for Tenure Track Faculty.
- When a faculty member is presented for promotion by a Division/Unit Director to the Department Chair, the Department Chair shall provide the documentation for promotion along with the faculty member's request, the Division/Unit Director's evaluation and any external evaluations to the Chair of the Department's Committee of Eligible Faculty for review.
- If the Division/Unit Director's recommendation is positive, the Chair of the Department's Committee of Eligible Faculty shall disseminate the documentation electronically to all the eligible members of the Department's Committee of Eligible Faculty. The eligible members shall review the faculty member's qualifications according to the standards for an initial appointment at that rank, and provide a vote along with positive or negative comments by email the Chair of the Committee of Eligible Faculty. Eligible members are the same as those who would consider Department Faculty for that rank.
- If any eligible member of the Committee of Eligible Faculty requests an in-person meeting of the committee, or if the Division/Unit Director's recommendation is not positive, then an in-person meeting of the Committee of Eligible Faculty shall be required and the associated vote can be considered complete.
- The Chair of the Committee of Eligible Faculty shall forward a written recommendation along with a record of the vote and a summary of comments from the committee to the Department Chair.
- If the promotion would bring the faculty member to a senior level (Associate Professor or Professor), then the promotion and associated documentation will need to be reviewed at the College and University levels. The

Department Chair is responsible for securing these additional reviews. For promotions below this level, the Department Chair's decision is final.

### **C. Documentation**

[Volume 3 of the Office of Academic Affairs' Handbook](#) serves as the model for documentation of all faculty reviews, including the annual review of probationary faculty, annual merit review, and reviews for tenure and/or promotion. These guidelines are available at the Board of Trustees website, <http://trustees.osu.edu/>. The faculty member under review bears the responsibility for preparing the dossier, according to the guidelines, in order to document their accomplishments. The narrative that follows details more specifically the documentation required for all faculty in the Department. These guidelines are meant to supplement the Office of Academic Affairs' guidelines, not to replace them.

In the Department, the faculty member is required to submit their dossier in accordance with the most current University requirements (<http://oaa.osu.edu/handbook.html>). The faculty member may submit supplementary documentation in order to correct or clarify any issues with the submitted document.

The faculty member is responsible for completing the core of the dossier. It is the responsibility of the Division/Unit Director to provide support for each faculty member in this process of documentation. It is the responsibility of the Department Chair to provide support to Division/Unit Director in this process. As outlined in the procedures for promotion, the responsibility for completion of the evaluative portions of the dossier is assigned to the Department Chair by the University, and certain portions of this responsibility are delegated to the Division/Unit Director for faculty in a given division/unit.

#### **1. Teaching Evaluation**

High quality teaching is expected of every faculty member in the Department. The Department has a strong commitment to the teaching of undergraduate, graduate and professional students as well as clinical education. Documentation should reflect an ongoing, comprehensive, and systematic evaluative process by each faculty member in the Department.

With specific teaching goals in mind, evaluation data should reflect the ability of the faculty member to meet the following expectations:

- Command of the course content
- Ability to communicate effectively
- Objectivity and fairness
- Contributions to the development of courses and curricula
- Creativity in course development and classroom strategies
- Contribute to undergraduate education and advising
- Contributing to graduate education and advising
- Contributing to professional education and advising
- Contributing to the continuing education of health professionals

#### **a. Self-Assessment**

Within the dossier, each faculty member shall provide a statement of their own teaching philosophy and goals. Documentation of teaching objectives, classroom strategies, student outcomes, evaluation of learning, and evaluation of instruction must clearly relate to the faculty member's goals. The faculty member's self-assessment in the dossier should relate to the expectations above and explain how the faculty member has systematically improved his/her teaching.

#### **b. Student Evaluation**

All faculty members are required to submit to student evaluation. All didactic and laboratory courses must be evaluated by students, using the University Student Evaluation of Instruction (SEI). The instrument should be administered and collected by someone other than the faculty member who is being evaluated. Every attempt should be made to maximize response rates.

In addition, teaching should be evaluated by students using open-ended questions or forms that elicit their comments. These forms must be disseminated, collected, collated, and summarized by someone other than the faculty member. Other methods of student evaluation can include mid-course evaluations, student group consensus processes and/or faculty prepared evaluations. Each faculty member is also encouraged to evaluate the quality of their contributions to clinical instruction, using consistent forms adopted by the Department or College.

Courses such as independent study, practicums, seminars etc. may not be amenable to evaluation using the SEI and, therefore, evaluations are not required for these courses. When alternative evaluation instruments are selected, they should be used

consistently. Faculty members who teach courses outside the College should use the standard evaluation form of that teaching unit.

### **c. Peer Evaluation**

Systematic peer evaluation of teaching is required. Probationary, Tenure Track and Education (Clinical) Faculty (at all ranks) must have periodic peer evaluation of classroom teaching. (a minimum of two since last reappointment or promotion to be considered – for a new reappointment or promotion). The evaluations should focus on those aspects of teaching that students cannot validly assess, such as appropriateness of curricular choices, implicit and explicit goals of instruction, choice of examination/evaluation materials, and consistency with highest standards of disciplinary knowledge. Literature on the evaluation of instruction suggests that there is no single best instructional method. Peer evaluations should have clear goals and reflect the Department's criteria for good teaching. Use of one of the Department's two evaluation forms for peer review is recommended. Peer evaluation should include a representative sample of the faculty member's teaching. It may include observation and critique of classroom teaching and external evaluation of teaching materials by experts in the field.

This peer evaluation can be formative or summative. Formative peer evaluation is arranged by the faculty member or the Division/Unit Director or Department Chair. The peer evaluator can provide written and verbal feedback to the faculty member. The results are used internally by the faculty member for improvement. If the faculty member chooses to do so, the formative evaluation can be included in the dossier as an example of the candidate's efforts and interest in improving their teaching.

Summative peer evaluation is arranged by the Division/Unit Director or Department Chair and results in an evaluative letter placed in the candidate's dossier. For summative peer evaluation, classroom observation should include multiple visits to the classroom, the completion of an evaluation instrument such as that provided by the University for Faculty Council, and a narrative summary of the findings by the evaluator. Summative peer evaluation shall be carried out by a Tenured Faculty Member with a rank equal to higher than that of the faculty member being evaluated. The summative report must be submitted to the Division/Unit Director or Department Chair.

Whether for formative or summative evaluation, the peer evaluation process should begin with a discussion between the evaluator and the faculty member regarding

the teaching goals and plan for the sessions to be observed. Classroom observation should include assessment of student interest and response, as well as the instructor's style, organization, ability to explain complex ideas, interaction, eye contact, body language, content, and synthesis.

Tenure and or promotion faculty members should have at least two completed reviews for every major course they teach. A minimum of two summative external evaluations of teaching is required in the dossier for a probationary faculty member.

## **2. External Evaluation of Teaching**

Each probationary Tenure Track Faculty member shall also document at least one external evaluation of teaching materials (e.g., syllabi, examinations, and handouts) for one or more courses prior to the sixth-year review. The external evaluation must be arranged, carried out, and received by the Division/Unit Director or Department Chair. The Division/Unit Director or Department Chair, in consultation with the faculty member, should select colleagues outside of the University who have considerable content expertise. When possible, the peer evaluator should hold a rank equal to or higher than the faculty member being evaluated. Course materials are sent to this individual, and they will be asked to provide a narrative summary of the quality of the materials and the learning experience as represented by these materials. Consultation for conducting external evaluation of teaching is available from the University Center for Advancement of Teaching. The evaluation summary is returned to the Division/Unit Director or Department Chair, who shares it with the faculty member and submits it to the Committee of Eligible Faculty for inclusion in the dossier. The number of peer evaluations of teaching required of Tenured Faculty has not been specified; however, peer evaluation of new or significantly revised courses is encouraged.

## **3. Other Forms of Teaching Evaluation**

Faculty members are encouraged to present other forms of evaluative feedback when it helps to clarify and further substantiate teaching quality. Such materials might include, but are not limited to, publications and scholarly presentations related to instructional topics, awards and commendation received by former or current students, teaching materials which have gained national or international recognition, other evidence of national or international reputation in teaching, student outcomes, such as performance on standard tests, evaluations of the quality of advising, evaluative feedback from continuing education programs, and awards for teaching.



#### **4. Scholarship/Research**

Volume 3 of the Office of Academic Affairs Policies and Procedures handbook provides explicit instructions for completion of the scholarship/research section of the dossier. Candidates must consult the handbook's outline and instructions annually and are advised to NOT use old dossiers as a guideline.

Along with the documentation of scholarship/research that are required in the core of the dossier, faculty members for promotion shall submit a copy of all publications (except abstracts) to the Department Chair's office for verification and evaluation by the Committee of Eligible Faculty. Materials accepted for publication, but not yet published, must be accompanied by the notice of acceptance from the editor or publisher. Items submitted for publication but not yet accepted must be accompanied by confirmation of the submission.

In addition to these items submitted to the Department Chair, the faculty member must be prepared to produce proof upon request of any item listed under scholarship/research, for example, abstracts, grants, presentations, etc. The notice of acceptance for abstracts, manuscripts or grant/contract awards may be validated by the Division/Unit Director, Department Chair or Committee of Eligible Faculty member appointed to verify documentation.

#### **5. Service**

Memberships on committees at the local, regional, national, and international level are listed in the core of the dossier. The list of University Committees should be divided by division, department, college, and university. This list may also include affirmative action and mentoring activities, administrative positions held, and other administrative services. For each committee listed, the candidate indicates in the dossier if membership was appointed, elected, or voluntary. When appropriate, a brief description of the scope of the committee's work will be explained. Committee roles, level of participation, and leadership will be described. The candidate may describe their unique contributions and specific projects and activities accomplished through their own efforts or leadership.

When service constitutes a substantial means by which the candidate satisfies the evaluative criteria, letters may be solicited to assess the candidate's contributions. As with other forms of evaluation, these shall be arranged, carried out, and received by a faculty member other than the candidate (e.g., Division/Unit Director, or

Department Chair). Contributions evaluated may include organizing conferences or continuing education, writing proposals, or completing important projects. Internal or external letters can be solicited to evaluate the candidate's contribution to a committee or a project. The candidate must be prepared to show documentation of all service activities.

## **VII. Appeals and Seventh Year Review**

### **Appeals**

Faculty Rule 3335-6-05 (<http://trustees.osu.edu/university/facultyrules>) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule 3335-5-05 (<http://trustees.osu.edu/university/facultyrules>).

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

### **Seventh-Year Reviews**

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

## VIII. Appendix

### A. Sample Letter for External Evaluator

The text below is intended for the cover letter to be used as an overall external assessment of a faculty member's impact in consideration of the case for promotion to a higher rank. In the text below, the braces ([ ]) are used to denote text that should be replaced with the name of the candidate or evaluator, or other information as indicated. The braces themselves should be removed in the final draft of the letter. In cases where two choices are given in braces separated by *- or -*, (e.g., [A] *- or -* [B]) the evaluator should choose the appropriate text and omit the alternative. The letter should be printed on school letterhead.

The sample letter is provided below:

[Evaluator name, title, address, phone, and email contact info]

[Date]

Dear [Evaluator],

The Department of Biomedical Education and Anatomy is considering Dr. [faculty member's name] for promotion to [new rank]. Dr. [faculty member's name]'s performance in teaching, scholarship/research, and service will be evaluated at the division, department, college and university levels to determine whether [promotion and tenure] *- or -* [promotion] will granted. I am asking you only to provide a critical assessment of Dr. [faculty member's name]'s scholarship/research.

Enclosed you will find a copy of Dr. [faculty member's name]'s curriculum vitae and copies of the following manuscripts:

[reference 1]

[reference 2]

[reference 3]

Would you please comment in some detail on the significance of the overall scholarship/research program as well as on the individual manuscripts, including the merit of the work, its originality, and its impact on the field of study? In addition, please provide your assessment of how Dr. [faculty member's name]'s

scholarship/research compares to others in this field at the same stage of career development.

Please do not comment on whether Dr. [faculty member's name] should be [promoted and tenured] – *or* – [promoted] at Ohio State or would or would not be [promoted and tenured] – *or* – [promoted] at your institution. We must make this assessment based on the total record, not just on scholarship/research, and on our own criteria and standards.

Under the Ohio Public Records Act, all documents related to promotion and tenure reviews, including letters of evaluation, are public records. Faculty members are offered the opportunity to review their documents. Thank you for your time and effort in responding to this request. If for any reason you will not be able to evaluate this candidate or if you have any questions about this process, please contact me by email or phone immediately.

I would appreciate receiving your response by [date].

Sincerely,

[School Director signature]

[School Director Name and Title, phone, and email contact info]