

Appointments, Promotion, and Tenure Criteria and Procedures for The Ohio State University College of Medicine

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COLLEGE OF MEDICINE

APPOINTMENTS, PROMOTION AND TENURE DOCUMENT

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I. PREAMBLE

This document is a supplement to Chapters 6 and 7 of the [Rules of the University Faculty](#) the annually updated procedural guidelines for promotion and tenure reviews in Volume 3 of the University Office of Academic Affairs (OAA) [Policies and Procedures Handbook](#) and other policies and procedures of the college and University to which the college and its faculty are subject.

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

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

The faculty and the administration are bound by the principles articulated in Faculty Rule [3335-6-01](#) of the Administrative Code. In particular, all faculty members accept the responsibility to participate fully and knowledgeably in review processes; to exercise the standards established in Faculty Rule [3335-6-02](#) and other standards specific to this college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering all appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the University's [policy on equal employment opportunity](#): *"Ohio State does not discriminate on the basis of age, ancestry, color, disability, ethnicity, gender, gender identity or expression, genetic information, HIV/AIDS status, military status, national origin, pregnancy, race, religion, sex, sexual orientation, or veteran status, or any other bases under the law, in its employment, which includes hiring and selection practices."*

This document will: (1) provide an instrument against which an individual Tenure Initiating Unit's (TIU) (i.e. department or school) Appointments, Promotion and Tenure (APT) document within the College of Medicine will be evaluated for approval, (2) broadly define the criteria for promotion on the Tenure-Track, Clinical, Research, and Associated faculty, and (3) describe the procedures by which a TIU's faculty appointments, reappointments, promotion and tenure actions are reviewed for approval. TIUs may adopt criteria for promotion that are different from those contained in this document, but those criteria must be reasonable, appropriate, justified, and approved by the Dean of the College of Medicine. Please see Appendix B for the complete list of TIUs in the College of Medicine.

Each TIU will have an Appointments, Promotion, and Tenure document. The document will describe, in qualitative and quantitative terms, the TIU's criteria for appointments, promotion, and tenure, and evidence to be provided to support a case within the context of the TIU's mission as well as the mission and standards of the College of Medicine. The document should indicate with specificity how the quality and effectiveness of teaching, the quality and significance of scholarship, and the quality and effectiveness of service are to be documented and assessed. The document will also describe the unit's procedures for conducting annual performance reviews of faculty as well as reviews for promotion and tenure. The document must be drawn up or amended through broad faculty consultation with all voting members of the TIU according to the principles articulated in paragraph (C)(3) of rule [3335-3-35](#) of the *Rules of the*

University Faculty and must be approved by the Dean of the College and the Executive Vice President and Provost.

When establishing criteria for appointments, reappointments, promotions and tenure, each TIU within the College of Medicine will bear in mind an institutional commitment to continuous elevation of the standards for faculty achievement. Accordingly, all decisions on promotion and/or tenure must be made in the context of a continuing effort at academic, scholarly, and intellectual improvement. Therefore, a decision to promote a faculty member or award tenure cannot be made primarily based on a need for that individual's area of expertise or of service to the TIU, the College of Medicine, or the University.

Faculty members are evaluated for their contributions to the multi-partite mission of a TIU, the College of Medicine, and OSU. Evaluation encompasses accomplishments in research and scholarship, teaching, education, innovation, program development and service, including activities in support of the patient care mission of the TIU or College of Medicine.

The *Rules of the University Faculty* permit the College of Medicine to make appointments in the following faculty categories: Tenure-Track, Clinical Faculty, Research Faculty, and Associated Faculty. Herein are described the characteristics and qualifications that distinguish faculty members in these different categories and provide guidelines for appointments and promotions consistent with these distinctions.

The College of Medicine endorses the University's recognition of the value of diverse contributions by individual faculty members toward the realization of the overall mission of the institution. For example, within the Clinical and Tenure categories there may be many different patterns of scholarly activity that reflect a range of faculty interests, skills, and accomplishments. These different patterns of performance may result in variation in emphasis among teaching, scholarship, and service.

All faculty members are to be evaluated for appointment and promotion using metrics that reflect the quality and impact of their contributions to the College of Medicine, to the Medical Center and OSU in the context of their assigned position descriptions. Criteria for quality and impact should be carefully determined by each individual TIU, defined in each TIU's Appointments, Promotion, and Tenure (APT) document, and should be validated, peer-reviewed, and relevant to the chosen/assigned body of work.

In addition, faculty members' activities may change over time, and thus may be consistent with different patterns of performance throughout the course of their careers. These different patterns of faculty activity will still lead to consideration for, and granting of, promotion and/or tenure, provided that the College's standard of excellence (including demonstration of national or international impact and recognition) as appropriate to the faculty level, track, and duties, is met.

This College of Medicine's Appointments, Promotion and Tenure document is subject to continuing revision and must be reviewed, and either reaffirmed or revised, upon the appointment or reappointment of the dean. However, revisions may be made at any time as needed. All revisions, as well as periodic reaffirmation, are subject to approval by the College of Medicine Faculty Affairs office and the University Office of Academic Affairs.

The dean or their designee shall solicit input from the College Faculty Council as representatives of the faculty at large prior to revising the College APT document and shall consider all such feedback provided in deciding on revisions. The dean or their designee shall provide Faculty Council with sufficient time to review and comment on any proposed changes to the document. However, the dean retains final authority to determine which changes shall be implemented.

II. MISSION

The ambition of the College of Medicine is to be a leading college of medicine that transforms the health of our communities through inclusive and innovative education, discovery, and care. The College of Medicine will deliver on this ambition by manifesting a culture where people feel valued and have the opportunity to thrive and excel, we care for ourselves and each other.

III. VALUES

Shared values are the commitments made by the College's community regarding how work will be conducted. Our [values](#) in the College of Medicine include:

- a) Inclusiveness
- b) Determination
- c) Empathy
- d) Sincerity
- e) Ownership
- f) Innovation

The College of Medicine operates on the premise that all faculty and staff in the College have unique talents that contribute to the pursuit of excellence and further our ambition. Faculty, staff, and learners are expected to set a high example of collegiality in the workplace with respect for personal boundaries. They must avoid behaviors that interfere with or adversely affect a community member's ability to learn, carry out research, care for patients or fulfill the individual's professional responsibilities. This synergism may be seen in the creation of our learning environment, research collaborations, co-authorship of publications, team approach to clinical practice including health and wellness, sharing of innovative ideas in committee meetings, community, and industry outreach. Faculty members are expected to offer mentorship within the entire learning community, including mentorship to faculty colleagues.

The College supports diverse beliefs and the free exchange of ideas and opinion and expects faculty, staff, and learners promote these values and apply them in a professional manner in all academic endeavors and interactions within and representing the College.

All faculty, staff and learners should work towards establishing and maintaining a team culture and an enriching and stimulating intellectual working and learning environment. The college is committed to evaluating the practice of these core values as part of all performance evaluations.

IV. DEFINITIONS

A. Committee of the Eligible Faculty

The eligible faculty for all appointment (hiring), reappointment, promotion, or promotion and tenure reviews must have their tenure home or primary appointment in the TIU. TIUs may or may not require a formal vote of the faculty for new instructor or assistant professor appointments as defined in their Appointment, Promotion, and Tenure document.

The TIU chair, the dean and assistant/associate/vice deans of the college, the executive vice president and provost, and the president may not participate as eligible faculty members in reviews for appointment, reappointment, promotion, or promotion and tenure.

1. Tenure-track Faculty

Initial Appointment Reviews

- **Initial appointment reviews in those TIUs in the college whose appointment decisions include a vote of the eligible faculty.** For an appointment (hiring) review of an instructor, assistant professor, associate professor, or professor, the eligible faculty consists of all tenure-track faculty in the TIU.
- **Initial appointment reviews in all TIUs in the college.** The recommendation to the TIU chair is the responsibility of the search committee.
- **Advanced Rank Review.** A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested.

Promotion or Promotion and Tenure Reviews

- For the promotion and tenure reviews of assistant professors, the eligible faculty consists of all tenured associate professors and professors.
- For the promotion reviews of associate professors, the eligible faculty consists of all tenured professors.

2. Clinical Faculty

Initial Appointment Reviews

- **Initial appointment reviews in those TIUs in the college whose appointment decisions include a vote of the eligible faculty.** For an appointment (hiring or appointment change from another faculty type) review of an instructor, assistant professor-clinical, an associate professor-clinical, or a professor-clinical, the eligible faculty consists of all tenure-track faculty and all clinical faculty in the TIU.
- **Initial appointment reviews in all TIUs in the college.** The recommendation to the TIU chair is the responsibility of the search committee.
- **Advanced Rank Review.** A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested and all non-probationary clinical faculty of equal or higher rank than the position requested.

Reappointment and Promotion Reviews

- For the reappointment and promotion reviews of assistant professors-clinical, the eligible faculty consists of all tenured associate professors and professors, all non-probationary associate professors-clinical, and all non-probationary professors-clinical.
- For the reappointment and promotion reviews of associate professors-clinical, and the reappointment reviews of professors-clinical, the eligible faculty consists of all tenured professors and all non-probationary professors-clinical.

3. Research Faculty

Initial Appointment Reviews

- **Initial appointment reviews in those TIUs in the college whose appointment decisions include a vote of the eligible faculty.** For an appointment (hiring or appointment change from another faculty type) review of a research assistant professor, a research associate professor, or a research professor, the eligible faculty consists of all tenure-track faculty and all research faculty in the TIU.
- **Initial appointment reviews in all TIUs in the college.** The recommendation to the TIU chair is the responsibility of the search committee.
- **Advanced Rank Review.** A vote on the appropriateness of the proposed rank must be cast by all tenured faculty of equal or higher rank than the position requested and all non-probationary research faculty of equal or higher rank than the position requested.

Reappointment and Promotion Reviews

- For the reappointment and promotion reviews of research assistant professors, the eligible faculty consists of all tenured associate professors and professors and all non-probationary research associate professors and professors.
- For the reappointment and promotion reviews of research associate professors and the reappointment reviews of research professors, the eligible faculty consists of all tenured professors and all non-probationary research professors.

4. Associated Faculty

Initial Appointment and Reappointment

The eligible faculty for new appointment reviews of associated faculty consists of all tenure-track faculty whose tenure resides in the TIU, all clinical faculty whose primary appointment is in the TIU, and all research faculty whose primary appointment is in the TIU. The recommendation to the TIU chair is the responsibility of the search committee.

Initial appointments at senior rank require a vote by the eligible faculty (all tenured faculty, all non-probationary clinical faculty, and all non-probationary research faculty of equal or higher rank than the position requested) and prior approval of the college dean.

The eligible faculty for reappointment reviews of associated faculty consists of all tenured faculty at or above the rank for which the candidate is being reviewed, all non-probationary clinical faculty at or above the rank for which the candidate is being reviewed, and all non-probationary research faculty at or above the rank for which the candidate is being reviewed.

Promotion Reviews

Associated faculty are eligible for promotion but not tenure if they have adjunct titles, tenure-track titles with service at 49% FTE or below, clinical practice titles, and lecturer titles.

For the promotion reviews of associated faculty with adjunct titles, the eligible faculty shall be the same as for tenure-track, clinical, or research faculty, as appropriate to the appointment, as described in Sections III.A.1, 2 or 3 above.

For the promotion reviews of associated faculty with tenure-track titles, the eligible faculty shall be the same as for tenure-track faculty as described in Section III.A.1.

For the promotion reviews of clinical practice faculty, the eligible faculty shall be the same as for clinical faculty as described in Section III.A.2 above.

The promotion of a lecturer to senior lecturer is decided by the TIU chair in consultation with the TIU's relevant advisory body.

5. Conflict of Interest

Search Committee Conflict of Interest

A member of a search committee must disclose to the committee and refrain from participation in any of the interviews, meetings, or votes that comprise the search process if the member:

- decides to apply for the position
- is related to or has a close interpersonal relationship with a candidate
- has substantive financial ties with the candidate
- is dependent in some way on the candidate's services
- has a close professional relationship with the candidate (e.g., dissertation advisor); or
- has collaborated extensively with the candidate or is currently collaborating with the candidate.

Eligible Faculty Conflict of Interest

A member of the eligible faculty has a conflict of interest when they are or have been to the candidate: a) a thesis, dissertation, or postdoctoral advisee/advisor; b) a co-author on more than 50% of the candidate's publications since appointment or last promotion, including pending publications and submissions; c) a collaborator on more than 50% of projects since appointment or last promotion, including current and planned collaborations; d) in a consulting/financial arrangement with the candidate since appointment or last promotion, including receiving compensation of any type (e.g., money, goods, or services) or is dependent in some way on the candidate's services; or e) in a family relationship such as a spouse, child, sibling, or parent, or other relationship, such as a close personal friendship, that might affect one's judgment or be seen as doing so by a reasonable person familiar with the relationship. Such faculty members will be expected to withdraw from a promotion review of that candidate.

In addition, an individual who has had personal or professional conflicts with the candidate are ineligible to participate in the discussion and vote. It is the responsibility of the TIU chair to remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.

6. Minimum Composition

In the event that the TIU does not have at least three eligible faculty members who can undertake a review, the TIU Chair, after consulting with the Vice Dean for Faculty Affairs, will appoint a faculty member from another TIU within the college.

B. Promotion and Tenure Committee

The college has a Promotion and Tenure Committee that reviews the promotion and tenure of college faculty and provides an evaluative written assessment to the dean. The committee's assessment is advisory to the dean. The college committee provides a vote regarding promotion and/or tenure and consensus that all earlier review processes met written university, college, and tenure initiating units' procedures. The committee's membership is described in the college Pattern of Administration.

At the TIU level, in addition to the Committee of the Eligible Faculty, TIUs may also have a Promotion and Tenure Committee that assists the Committee of the Eligible Faculty in managing faculty evaluation and promotion and tenure issues. The committee's chair and membership are determined according to the TIU's Patterns of Administration. When approved by the University Office of Academic Affairs, a TIU's Promotion and Tenure Committee may be in lieu of the Committee of the Eligible Faculty. The responsibilities of the College Promotion and Tenure Committee are described in Section VII.B.5 of this document.

C. Quorum

The quorum required to discuss and vote on all personnel decisions within a TIU is determined by each TIU.

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

Faculty members on approved university leave (e.g. medical, business, parental) are not counted when determining quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave. A member of the eligible faculty on Special Assignment may be excluded from the count for the purposes of determining quorum only if the dean has approved an off-campus assignment.

Faculty members with a competing scheduling constraint at the scheduled meeting time are not excused absences and do count as members of the eligible faculty.

D. Recommendation from a TIU's Committee of the Eligible Faculty

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

Absentee ballots and proxy votes are not permitted, but participating fully in discussions and voting via remote two-way electronic connection are allowed.

1. Appointment

In the [SHIFT](#) Framework for faculty recruitment, search committees make their recommendations to the TIU head. For those units that incorporate a faculty vote in their overall recommendation, a positive recommendation from the eligible faculty for appointment is secured when a simple majority (greater than 50%) of the votes cast is positive. TIUs may choose to require a higher majority.

- In the case of joint appointments, the TIU of a jointly appointed candidate must seek input from the joint-appointment TIU prior to the appointment of that candidate.

2. Reappointment, Promotion and Tenure, Promotion

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, and promotion, is secured when a simple majority (greater than 50%) of the votes cast is positive. TIUs may choose to require a higher majority.

- In the case of joint appointments, the TIU of a jointly appointed candidate must seek input from the joint-appointment TIU prior to the reappointment, promotion and/or tenure of that candidate.

V. APPOINTMENTS

The *Rules of the University Faculty* permit the College of Medicine to make appointments to the Tenure-Track, Clinical faculty, Research faculty, and to the Associated faculty. The latter contains unpaid and paid Associated faculty. The appropriate faculty initial appointment to the College of Medicine must be aligned with the expectations and responsibilities of the faculty member and be consistent with both the short-term and long-term career plans of the individual. TIU chairs should carefully evaluate and align the career goals of the faculty candidate in consultation with the college and the TIU needs in determining the most appropriate appointment for the faculty member.

The college is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the faculty. Important considerations include an individual's record to date in teaching, scholarship, and service; the potential for professional growth in each of these areas; evidence of activities that foster university and college values including inclusivity; and the potential for interacting with colleagues and learners in a way that will enhance their academic work and attract other outstanding faculty and learners to the college. Offers will only be extended to individuals who engage in behavior consistent with college values and not to those individuals who promote a hostile work environment. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance faculty quality. The search is either cancelled or continued, as appropriate to the circumstances.

For each type of faculty appointment (tenure-track faculty, clinical faculty, research faculty, associated faculty, courtesy appointment for faculty), each TIU's APT document must describe: (1) the unit's criteria for making such an appointment, (2) the evidence to be provided in support of such an appointment, and (3) the unit's procedures for making such an appointment. It is the expectation of the college that a faculty appointment forwarded from a TIU for approval by the college or a courtesy faculty appointment made by a TIU will have been made consistent with that TIU's APT document, and other relevant policies, procedures, practices, and standards established by the college, the Rules of the University Faculty, the University Office of Academic Affairs, and the Office of Human Resources.

A. Appointment Criteria

1. Tenure-Track Faculty

The tenure-track exists for those faculty members who primarily strive to achieve sustained excellence in the discovery and dissemination of new knowledge, as demonstrated by national and international recognition of their scholarship and successful competition for extramural funding. Although excellence in teaching and outstanding service to The Ohio State University is required, these alone are not sufficient for progress on this track. Each Tenure Initiating Unit (TIU) is responsible for establishing criteria for appointment, reappointment, and promotion and tenure that are consistent with these criteria and for ensuring that every faculty appointment, reappointment, and promotion and tenure recommendation is consistent with these criteria.

Appointments to this track are made in accordance with University Rule [3335-6-02](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the TIU. There must be an expectation that faculty members who are appointed to the tenure-track will be assigned a workload that provides sufficient time for the faculty member to meet the expectations and requirements for tenure-track appointments. The appointment process requires the TIU to provide sufficient evidence in support of a tenure-track faculty appointment so as to ensure that the faculty candidate has clearly and convincingly met or exceeded applicable criteria in teaching, scholarship, and service [see Section VII. of this document for examples]. Each candidate for appointment should undergo an appropriate review by the TIU faculty which may or may not include a vote of the faculty as described in the TIU APT document.

All faculty members have access to all pertinent documents detailing TIU, College of Medicine, and University promotion and tenure policies and criteria. The most updated documents are located at the University [Office of Academic Affairs](#) website.

In clinical TIUs, each appointee must obtain the appropriate Ohio licensure and other required certifications if required for successful execution of their faculty responsibilities.

Appointment: Instructor on the Tenure-Track

An appointment to the rank of instructor is always probationary. During the probationary period, a faculty member does not have tenure and is considered for reappointment annually. Appointments at the rank of instructor are appropriate for individuals who could need time to establish a research program and set themselves up for the requirements to progress toward tenure. Appointments to this rank may also be made if all the criteria for the position of assistant professor have been met with the exception that the candidate will not have completed a terminal degree, or other relevant training, at the time of the appointment. When an individual is appointed to the rank of instructor, the letter of offer should indicate the specific benchmarks and achievements required for promotion to assistant professor.

Procedures for appointment are identical to those for an assistant professor. An appointment at the instructor level is limited to three years. An instructor must be approved for promotion to 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. Promotion to assistant professor occurs without review following completion of the required credentialing. When an instructor has not met the expectations for moving from instructor to the rank of assistant professor by the beginning of the third year of appointment, the third year is a terminal year of employment. Upon promotion to assistant professor, the faculty member may request prior service credit for time spent as an instructor. Unless there are

unique circumstances, the college does not recommend requesting prior service credit. This request must be approved by the TIU's eligible faculty, the TIU chair, the dean, and the University Office of Academic Affairs and if approved is irrevocable except through an approved request to exclude time from the probationary period. In addition, all probationary faculty members have the option to be considered for early promotion.

Criteria for appointment to the rank of instructor include the following.

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience. Individuals who have completed all the requirements of their terminal degree, but who have not obtained the final degree at the time of initial employment will be appointed as an instructor. In addition, appointment at the rank of instructor is appropriate for individuals who, at the time they join the faculty, do not have the requisite skills or experience to fully assume the full range of responsibilities of an assistant professor.
- Evidence of potential for excellence in scholarship. Such evidence might include peer-reviewed publications in a mentored setting, but insufficient evidence of an independent, creative, and productive program of research with potential for external funding.
- No ongoing negative behaviors such as discrimination, bullying, harassment, retaliation, or promotion of other hostile work conditions.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors [see Appendix C].
- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the College of Medicine.

Appointment: Assistant Professor on the Tenure-Track:

An appointment to the rank of assistant professor is always probationary. During a probationary period, a faculty member does not have tenure and is considered for reappointment annually. Tenure cannot be awarded at the rank of assistant professor. An assistant professor must be reviewed for promotion and tenure no later than the mandatory review year (6th year of appointment for faculty without significant clinical responsibilities, 11th year of appointment for faculty with significant clinical service responsibilities). However, promotion and tenure may be granted by following the promotion and tenure review process at any time during the probationary period when the faculty member's record of achievement so merits. Similarly, a probationary appointment may be terminated at any time subject to the provision of University Rule [3335-6-08](#) and the provision of paragraphs (6), (H), and (I) of University Rule [3335-6-03](#).

Consistent with Faculty Rule, [3335-6-09](#), faculty members without clinical service responsibilities are reviewed for promotion & tenure no later than the 6th year as to whether promotion and tenure will be granted at the beginning of the 7th year. For individuals not recommended for promotion and tenure after the mandatory review, the 7th year will be the final year of employment. Faculty members with significant clinical service responsibilities are granted an extended probationary period of up to 11 years, including prior service credit, depending on the pattern of research, teaching, and service workload. An assistant professor with an extended probationary period is reviewed for promotion and tenure no later than the 11th year as to whether promotion and tenure will be granted at the beginning of the 12th year. For individuals not recommended for promotion and tenure after the mandatory review, the 12th year will be the final year of employment.

For appointments at the rank of assistant professor, prior service credit of up to three years may be granted for work experience at the time of the initial appointment. Doing so requires the approval of the eligible faculty, TIU chair, dean, and executive vice president and provost. Prior service credit shortens a probationary period by the amount of the credit. The College discourages these requests because if granted it is irrevocable except through an approved request to exclude time from the probationary period.

Criteria for appointment at the rank of Assistant Professor in the tenure-track include:

- An earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience.
- Early evidence of excellence in scholarship as demonstrated by the initial development of a body of research, scholarship, and creative work. In addition, evidence must be provided that supports a candidate's potential for an independent program of scholarship or leadership within a productive research program as well as a strong likelihood of independent extramural research funding or extramural funding through team science work.
- No ongoing negative behavior such as discrimination, bullying, harassment, retaliation or promotion of other hostile work conditions.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors [see Appendix C].
- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the College of Medicine.

Appointment: Associate Professor with Tenure on the Tenure-Track

Appointment offers at the rank of associate professor, with tenure, require prior approval of the University Office of Academic Affairs. Criteria for appointment to the rank of associate professor with tenure are identical to the criteria for promotion to associate professor with tenure, as detailed in Section VII of this document. In general, appointments at the rank of associate professor shall not entail a probationary period unless there are compelling reasons not to offer tenure.

Appointment: Associate Professor in Advance of Tenure on the Tenure-Track:

While appointments to the rank of associate professor on the tenure-track typically include tenure, a probationary period can be granted after petition to the University Office of Academic Affairs. A TIU must exercise care in making these appointments and provide the metrics that the faculty member must achieve to be awarded tenure. For faculty without significant clinical service responsibilities the probationary period may not exceed four years. For faculty with significant clinical service responsibilities, the probationary period may not exceed six years. Requests for such appointments require the approval of the Dean of the College of Medicine, and the Executive Vice President and Provost.

An appointment to the rank of associate professor in advance of tenure is probationary. During a probationary period, a faculty member does not have tenure and is considered for reappointment annually. Criteria for appointment to the rank of associate professor in advance of tenure are identical to the criteria for promotion to associate professor in advance of tenure, as detailed in Section VII of this document. Offers to foreign nationals require prior consultation with the Office of International Affairs.

Appointment: Professor with Tenure on the Tenure-Track

Appointment offers at the rank of professor require prior approval of the University Office of Academic Affairs. Criteria for initial appointment to the rank of professor with tenure are identical to the TIU's and College of Medicine's criteria for promotion to professor with tenure, as detailed in Section VII of this document.

Appointments at the rank of professor without tenure should not occur.

Offers to foreign nationals require prior consultation with the Office of International Affairs.

2. Clinical Faculty

Clinical faculty are equivalent to tenure-track faculty in importance to the College of Medicine. The clinical faculty are those whose principal career focus is outstanding teaching, clinical and translational research, and delivery of exemplary clinical service. Clinical faculty members will generally not have sufficient time to meet the scholarship requirements of the tenure-track within a defined probationary period. For this reason, the nature of scholarship for the clinical faculty differs from that in the tenure-track and may be focused on a mixture of academic pursuits including the scholarship of practice, integration, clinical informatics, community engagement and education, as well as new knowledge discovery. Faculty members appointed to the clinical faculty may choose to distinguish themselves in patient care, teaching, innovative educational program development, or research (scholarship). Faculty members appointed to the clinical faculty may choose to distinguish themselves through several portfolios of responsibility including clinician educator, clinician scholar, and clinical excellence pathways. While TIUs are encouraged to utilize all three pathways as appropriate, each TIU may modify individual pathways to reflect the way the faculty in their TIUs are deployed. The clinician educator pathway may reflect excellence as an educator as measured by teaching evaluations and innovative teaching practices and curricula or modules development, and publications. Alternatively, the clinician educator pathway may reflect an outstanding clinician who has a demonstrated record of educating colleagues and peers such as through invitations to serve as faculty on national continuing medical education programs or societal leadership. The clinician scholar pathway reflects excellence in basic science, translational science, clinical research and/or health services research (e.g., public health care policy, outcomes, and comparative effectiveness research) as measured by publications and grant funding, respectively. The clinical excellence pathway exists for faculty members who focus on exemplary clinical care or unique areas of emphasis in patient management. These faculty members may build signature clinical programs and/or serve as preferred providers developing a regional or national reputation for clinical service expertise. Faculty members on this pathway typically devote 80% or more of their effort to patient care or administrative service. Faculty members on the clinical faculty are not eligible for tenure and may not participate in promotion and tenure matters of tenure-track faculty.

All appointments of faculty members to the clinical faculty are made in accordance with Chapter 7 of the *Rules for University Faculty* [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the TIU, and the mission and values of the College of Medicine and University. All faculty members have access to all pertinent documents detailing TIU, College of Medicine, and University promotion and tenure policies and criteria. The most updated documents are located at the University [Office of Academic Affairs](#) website.

Except for those appointed at the rank of instructor, for whom a contract is limited to three years, the initial contract for all other clinical faculty members must be for a period of five years. The initial contract is probationary, with reappointment considered annually. The initial contract at all ranks is probationary, and a faculty member will be informed by the end of each probationary year if they will

be reappointed for another 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. 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. In addition, the terms of the contract may be renegotiated at the time of reappointment. Second and subsequent contracts for clinical faculty must be for a period of at least three years and for no more than five years. Furthermore, each appointee must obtain the appropriate Ohio licensure and other required certifications, including medical staff privileges if required for successful execution of their faculty responsibilities. TIUs may determine the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#).

The POA of each TIU that appoints clinical faculty must describe the governance rights to be extended to its clinical faculty.

The following paragraphs outline the basic criteria for initial appointments to the clinical faculty.

Appointment: Instructor on the Clinical Faculty

Appointment to the rank of instructor is made if all the criteria for the position of assistant professor have been met with the exception that the candidate will not have completed the terminal degree, or other relevant training, at the time of the appointment.

When an individual is appointed as an instructor, the letter of offer should indicate the specific benchmarks and accomplishments that will be necessary for promotion to assistant professor.

Instructor appointments are limited to three years, with the third year being the terminal year. When an instructor meets the criteria for promotion to assistant professor on the clinical faculty, a new letter of offer with a probationary period of three to five years will be issued.

In the event, the instructor has not completed requirements for promotion to the rank of assistant professor by the end of the penultimate year of the contract period, a new contract will not be considered.

Candidates for appointment to the rank of instructor on the clinical faculty at a minimum will have:

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study, or anticipated completion of clinical residency and fellowship.
- Evidence of potential for contributions to scholarship, education, or patient care.
- Post-doctoral clinical training in an appropriate area.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix C] .
- No ongoing negative behaviors such as discrimination, bullying, harassment, retaliation, or promotion of other hostile work conditions.

Appointment: Assistant Professor on the Clinical Faculty

Candidates for appointment at this rank are expected to have completed all relevant training, including residency and fellowship where appropriate, consistent with the existing or proposed clinical or educational program goals of the TIU.

The initial appointment to the rank of assistant professor is always probationary. During a probationary period, a faculty member is considered for reappointment annually. A probationary appointment may be terminated at any time subject to the provision of University Rule [3335-6-08](#) and the provision of paragraphs (B) and (D) of University Rule [3335-7-07](#). An assistant professor may be reviewed for promotion at any time during the probationary period or during a subsequent contract.

This is the appropriate level for initial appointment of persons holding the appropriate terminal degree and the relevant clinical training.

Candidates for appointment to the rank of assistant professor on the clinical faculty will have at a minimum:

- An earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience; and completion of requisite post-doctoral clinical training.
- Evidence of contributions to scholarship, education, community engagement or patient care and the potential to advance through the faculty ranks.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix C].
- No ongoing negative behaviors such as discrimination, bullying, harassment, retaliation or promotion of other hostile work conditions.

Appointment: Associate Professor on the Clinical Faculty

The criteria for initial appointment at the rank of associate professor to the clinical faculty are identical to those criteria for promotion to this rank as outlined in Section VII of this document.

Appointment: Professor on the Clinical Faculty

The criteria for initial appointment at the rank of professor in the clinical faculty are identical to those criteria for promotion to this rank as outlined in Section VII of this document.

3. Research Faculty

Research faculty appointments exist for individuals who focus entirely on research. These appointments are intended for individuals who will have faculty-level responsibilities in the research mission, comparable to the level of a Co-Investigator. Individuals who serve as laboratory managers or otherwise contribute to the research mission at a level comparable to that of a postdoctoral fellow should not be appointed on the research faculty but rather should be appointed as research scientists. Appointments to the research faculty are made in accordance with Chapter 7 of the *Rules of the University Faculty* [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the TIU. Unless otherwise authorized by a majority vote of the tenure-track faculty in a TIU, research faculty must comprise no more than twenty per cent of the number of tenure-track faculty in the TIU. In all cases, however, the number of research faculty positions in a unit must constitute a minority with respect to the number of tenure-track faculty in the TIU.

Tenure is not granted to research faculty.

Contracts will be for a period of at least one year and for no more than five years and must explicitly state the expectations for salary support. In general, research faculty appointments will require 100% salary recovery. It is expected that salary recovery will generally be derived from extramural funds. While salary support for research faculty may not come from dollars provided to the departments from the college, departments may choose to provide funding from individual departmental faculty research funds, start-up funds, and/or department Chair package funds to maintain the faculty member's salary at 100%. The initial contract 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. In addition, the terms of a contract may be renegotiated at the time of reappointment. TIUs may determine the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#).

Research faculty members are eligible to serve on 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 applications. Approval to advise and supervise graduate students must be obtained from the graduate school as detailed in Section 13 of the [Graduate School Handbook](#).

Appointment: Assistant Professor on the Research Faculty

Each TIU's Appointments, Promotion and Tenure document must include criteria requiring that the candidate for appointment as a research assistant professor has at a minimum:

- An earned doctorate or other terminal degree in the relevant field of study, or possession of equivalent experience.
- Completion of sufficient research training to provide the basis for specific expertise for contributing to the research mission.
- An initial record of scholarship that indicates effective collaboration and contribution to peer-reviewed research, reflected by co-authorship of peer-reviewed publications, participation in team science initiatives, or funded effort on peer-reviewed grants.
- No ongoing negative behavior such as discrimination, bullying, harassment, retaliation, or promotion of other hostile work conditions.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the "Statement on Professional Ethics" by the American Association of University Professors [see Appendix C].
- Strong potential for career progression and advancement through the faculty ranks.

Appointment: Associate Professor on the Research Faculty

The criteria for initial appointment to the rank of associate professor on the research faculty are identical to those criteria for promotion to this rank as outlined in Section VII of this document.

Appointment: Professor on the Research Faculty

The criteria for initial appointment to the rank of professor on the research faculty are identical to those criteria for promotion to this rank as outlined in Section VII of this document.

4. Associated Faculty

Associated Faculty, as defined in the *Rules of the University Faculty* [3335-5-19](#) (B)(3), include “persons with practice titles, adjunct titles, visiting titles, returning retirees and lecturer titles.” Persons with a tenure-track faculty title on an appointment of less than 50% FTE are associated faculty. 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 are for one to three years. The below titles are used for associated faculty in the College of Medicine.

Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor. Adjunct appointments are uncompensated and are given to individuals who volunteer academic service to the TIU for which a faculty title is appropriate and/or required. Examples of such service could include but are not limited to serving on graduate student committees or teaching and evaluating medical students. Criteria for appointment at advanced rank are the same as for promotion. Adjunct faculty members are eligible for promotion (but not tenure).

Instructor - Practice, Assistant Professor - Practice, Associate Professor - Practice, Professor - Practice. Associated Practice faculty appointments may be compensated or uncompensated. Uncompensated appointments are given to individuals who volunteer uncompensated academic service to a TIU, for which a faculty title is appropriate. Compensated appointments are given to full time clinicians who are not appointed to the clinical or tenure-track faculty.

This category of associated faculty will have a paid appointment at OSU, OSUP (Ohio State University Physicians, Inc.), or Nationwide Children’s Hospital (NCH) and requires a faculty appointment (e.g. for clinical credentialing or teaching a course). They may have another paid appointment at OSU (e.g. physician), but their faculty appointment can be unpaid. This may be appropriate to use for faculty appointments that are expected to be less than three years or for faculty who are paid through OSU, OSUP, or NCH but are 100% deployed in the community.

Associated practice rank is determined by applying the criteria for appointment of clinical faculty. Associated practice faculty members are eligible for promotion (but not tenure) and the relevant criteria for compensated practice faculty are those for promotion of clinical faculty.

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

Senior Lecturer. Appointment as senior lecturer requires the individual have at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to

provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion.

Tenure track Assistant Professor, Associate Professor, Professor with FTE below 50%.

Individuals on the tenure-track with an appointment at 49% FTE or below, either compensated or uncompensated, fall within the associated faculty. Associated tenure-track is determined by applying the criteria for appointment of tenure-track faculty. Associated tenure-track faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of tenure-track faculty.

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor.

Visiting faculty appointments may either be compensated or not compensated. Faculty members on temporary leave from another academic institutions are appointed as a visiting faculty member at the same rank held in that other institution. Visiting faculty appointments may also be used for new senior rank candidates for whom the appointment process is not complete at the time of their employment. In that case the visiting rank is determined by the criteria for the appointment to which they will be ultimately employed. Visiting faculty members are not eligible for tenure or promotion. They may not be reappointed for more than three consecutive years.

Returning Retiree – faculty who have retired from the University and return in any paid appointment at the University. Approvals are only for one year and must cover their salary and associated costs. All reemployed retiree faculty appointments must be approved by the TIU chair, Dean and University Office of Academic Affairs. Reemployment as a retiree is not an entitlement. The appointment is based on the needs of the unit rather than the desire of the individual, with particular attention to the ways the reappointment can benefit the university. Refer to the [APT Required Documents and Process](#) site for more information (policy, required documents, and tip sheet).

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 if required for successful execution of their faculty responsibilities.
- Have significant and meaningful interaction in at least one of the following mission areas of the College of Medicine:
 - a) Teaching of medical students, residents, clinical fellows, undergraduate and graduate students, and postdoctoral 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.
 - b) Research: These faculty members may collaborate with a TIU or division in the college in research projects or other scholarly activities.
 - c) Service to a TIU or the college: This includes participation in committees or other leadership activities (e.g., membership in the Medical Student Admissions Committee).
- No ongoing negative behavior such as discrimination, bullying, harassment, retaliation, or promotion of other hostile work conditions.
A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix C].

Appointment: Associated Faculty at Advanced Rank

Associated faculty may be compensated or uncompensated, and typically provide service to the college in the areas of research, clinical care, or education. For compensated faculty who are principally focused on patient care, the appointment at advanced rank criteria and procedures will be identical to those for the clinical excellence pathway. For compensated faculty who contribute principally through educational activities or scholarship, the appointment at advanced rank criteria and procedures will be identical to those for the clinician educator pathway. For uncompensated faculty, the criteria for appointment at advanced rank must be specified in the TIU APT document.

5. Emeritus Faculty

Emeritus faculty status is an honor given in recognition of sustained academic contributions to the university as described in Faculty Rule [3335-5-36](#). Full-time tenure-track, clinical, research, or associated faculty may request emeritus status upon retirement or resignation at the age of sixty or older with ten or more years of service or at any age with twenty-five or more years of service.

Faculty will send a request for emeritus faculty status to the TIU chair outlining academic performance and citizenship. The TIU chair will decide upon the request, and if appropriate submit it to the dean, who will forward a recommendation to the executive vice president and provost. If the faculty member requesting emeritus status has in the ten years prior to the application engaged in serious dishonorable conduct in violation of law, rule, or policy and/or caused harm to the university's reputation or is retiring pending a procedure according to Faculty Rule [3335-05-04](#), emeritus status will not be considered.

See the OAA [Policies and Procedures Handbook](#) Volume 1, Chapter 1, for information about the types of perquisites that may be offered to emeritus faculty, provided resources are available.

Emeritus faculty may not vote at any level of governance and may not participate in promotion and tenure matters.

6. Courtesy Appointments

A non-salaried appointment for a university faculty member from another TIU is considered a courtesy appointment. An individual with an appointment in one TIU may request a courtesy appointment in another TIU when that faculty member's scholarly and academic activity overlaps significantly with the discipline represented by the second unit. Such appointments must be made in the same faculty rank/track, using the same title, as that offered in the primary TIU. Courtesy appointments are warranted only if they are accompanied by substantial involvement in the academic and scholarly work of the TIU.

7. Joint Appointments

Joint faculty appointments between a faculty member's TIU and another academic unit or units are created for the mutual benefit from the faculty member's expertise that advance the scholarship, teaching, or clinical mission of all the academic units involved and promote cross-disciplinary collaboration. These are paid faculty positions with the FTE and salary support shared between one or more academic units. These appointments are therefore distinct from courtesy appointments. A memorandum of understanding (MOU) is created by the academic units creating the joint appointment and will clearly define distribution of the faculty member's time commitment to the different units, the sources of compensation directed to the faculty member, distribution of resources, the planned acknowledgement of the academic units on manuscripts, the manner in which

credit for grant funding will be attributed to the different units and the distribution of grant funds among the appointing units.

B. Appointment Procedures

The appointment of all compensated tenure-track, clinical, research, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT](#) Framework for faculty recruitment. All faculty positions must be posted in [Workday](#), the university's system of record for faculty and staff. Formal interviews are required for all positions. Appropriate disposition codes for applicants not selected for a position must be entered in Workday to enable the university to explain why a candidate was not selected and what stage they progressed to before being removed from the search.

In addition, see the [Faculty Policy on Faculty Recruitment and Selection](#) and the [Policy on Faculty Appointments](#) for information on the following topics:

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

Each Tenure Initiating Unit's (TIU) Appointments, Promotion and Tenure document (as described on page 4 of this document) must show that the unit follows the [SHIFT](#) Framework for faculty recruitment. Any faculty appointment forwarded from a TIU for approval by the College of Medicine must have been made consistent with SHIFT processes, and other relevant policies, procedures, practices, and standards established by: (1) the College of Medicine, (2) the *Rules of the University Faculty*, (3) the University Office of Academic Affairs, including the Office of Academic Affairs [Policies and Procedures Handbook](#), and (4) the Office of Human Resources. A draft letter of offer to a faculty candidate must be reviewed and approved by the Vice Dean for Faculty Affairs of the College of Medicine. The draft letter of offer will be reviewed for consistency with the essential components required by the University Office of Academic Affairs [Policies and Procedures Handbook](#), and by the College. Letters of offer are managed through the approved online contract management system. The following sections provide general guidelines for searches in the different faculty categories.

1. Tenure-Track Faculty

A national search is required to ensure a broad pool of highly qualified candidates for all tenure-track positions. This includes all external candidates for all faculty positions. The only exception is for dual career partners, as described in Volume 1, Chapter 4, section 5.1 of the [Policies and Procedures Handbook](#). TIUs must seek exceptions to this policy from the college and the Office of Academic Affairs in advance. The search must include faculty input sufficient to reflect the perspective of all those who will collaborate and share the work environment with the candidate and be consistent with the OAA [Policy on Faculty Recruitment and Selection](#).

Prior to any search, members of all search committees must undergo the trainings identified in the [SHIFT](#) Framework for faculty recruitment. In addition, all employees/faculty involved in the hiring and selection process must review and acknowledge the EEO Recruitment and Selection Guidelines in the BuckeyeLearn system.

The [SHIFT](#) Framework serves as a centrally coordinated guideline and toolkit to support the entire process of faculty recruitment with clear engagement from all participating stakeholders involved in the faculty hiring process. This framework is intended to provide faculty engaged in search committees and staff providing support services with the tools and support needed to attract excellent and broad applicant pools, conduct consistent and equitable evaluations, and successfully hire and properly onboard new faculty members who will continue our tradition of academic excellence. This framework consists of six phases, each targeting a specific stage of the recruitment process:

- “Phase 1 | Search Preparation & Proactive Recruitment” is the earliest stage in the search process. Key steps during this phase include determining faculty needs for the unit, creating a search strategy (including timeline), establishing a budget, and identifying additional partners to include in the process. The steps in this phase provide guidance on forming committees, detail training requirements for search committee members, and innovative approaches to advertising and outreach. This section also includes ideas and resources for developing qualified, broad talent pools to ensure alignment with university and unit EEO goals and advance the eminence of the institution.
- “Phase 2 | Preliminary Review of Applicants” focuses on best practices for the application review and candidate screening processes. The guidelines and resources in this section support consistency and fairness in the review, assessment, and selection of candidates moving forward in the recruitment process. This section also outlines how to select a list of candidates for on-campus interviews.
- “Phase 3 | Finalists Interviews & Evaluations” provides guidance and tools for conducting interviews and campus visits, requesting reference letters (if not requested earlier in the application stage), and collecting feedback from everyone who interacted with the candidates. Adherence to the guidelines outlined in this section has a direct impact on enhancing the candidate experience and ensuring a consistent evaluation process. This phase concludes with the submission of a letter from the search committee to the TIU chair/director.
- “Phase 4 | Extend Offer” provides guidance and resources related to effectively selecting the most qualified candidate(s) for the position(s) and successfully negotiating to result in an accepted offer.
- “Phase 5 | Preboard and Onboard” offers resources to help prepare and support new faculty as they transition to Ohio State. The suggestions in this phase focus on creating a seamless transition for incoming faculty and their partners/families, if applicable.
- “Phase 6 | Reflect and Assess the Search” is a process supported by OAA to reflect on the hiring cycle each year and evaluate areas that may need improvement and additional support.

If the offer involves senior rank (associate professor or above), solicitation of external letters of evaluation are required and follow the same guidelines as for promotion reviews. The eligible faculty members must also vote on the appointment. If the offer letter provides for prior service credit towards the award of tenure, the eligible faculty members vote on the appropriateness of such credit. Appointment offers at the rank of associate professor, with or without tenure, or professor, and/or offers of prior service credit require prior approval of the University Office of Academic Affairs.

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

TIUs are advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International

Affairs. An [MOU](#) must be signed by faculty eligible for tenured positions who are not U.S. citizens or nationals, permanent residents, asylees, or refugees.

2. Clinical Faculty

Searches for initial appointments for clinical faculty should follow the same procedures as those utilized by the TIU and the College of Medicine for tenure-track faculty, with the exception that the candidate is not required to give a presentation. A national search is required to ensure a broad pool of highly qualified candidates for all clinical faculty positions. Exceptions to this policy must be requested in advance from the dean or their designee. In the case of approval of waiver for a search, the TIU must complete a full review, the TIU head must provide a recommendation, and the dean must approve the hire. As above, faculty appointed to the clinical faculty should evidence a career consistent with the values (see Section III: inclusiveness, determination, empathy, sincerity, ownership, & innovation) of the college and aligned with its cultures.

3. Research Faculty

Searches for initial appointments in the research faculty should follow the same procedures as those utilized by the TIU and the College of Medicine for tenure-track faculty. As for candidates for appointment to the tenure-track faculty, it is recommended that research faculty candidates make a presentation to learners and faculty regarding their scholarship. A national search is required to ensure a broad pool of highly qualified candidates for all research faculty positions. Exceptions to this policy must be requested in advance from the dean or their designee. As above, faculty appointed to this track should evidence a career consistent with the values (see Section III: inclusiveness, determination, empathy, sincerity, ownership, & innovation) of the college and aligned with its cultures.

4. Transfers: Track & TIU

Transfers between faculty categories are permitted only under the strict guidelines detailed in the paragraphs below, per University Rules [3335-7-09](#) and [3335-7-10](#). A transfer to a different appointment type should be motivated by a clear change in a faculty member's career orientation and goals. An engaged, committed, productive faculty should be the ultimate goal of all appointments.

Transfer: Tenure-Track to Clinical Faculty

If a faculty member's activities become more aligned with the criteria for appointment to the clinical faculty, they may request a transfer. A transfer request must be approved by the TIU chair, dean, and executive vice president and provost. The first appointment to the clinical faculty is probationary; and tenure, or the possibility thereof, is revoked.

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.

The new letter of offer must outline a new set of expectations for the faculty member aligned with the new responsibilities.

Transfer: Tenure-Track to Research Faculty

If faculty members wish to engage exclusively in research, without the multiple demands required of the tenure-track, they may request a transfer. A transfer request must be approved by the TIU chair, dean, and executive vice president and provost. The first appointment to the research faculty is probationary; and tenure, or the possibility thereof, is revoked.

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.

The new letter of offer must outline a new set of expectations for the faculty member aligned with the new responsibilities.

Transfer: Clinical or Research to Tenure-Track

Transfer from the clinical faculty or research faculty to the tenure-track is not permitted, but clinical and research faculty are eligible to apply for tenure-track positions through a competitive national search.

The new letter of offer must outline a new set of expectations for the faculty member aligned with the new responsibilities.

Transfer: Tenure Initiating Unit (TIU Transfer)

Following consultation with TIU chairs and college dean(s), a faculty member may voluntarily move from one TIU to another upon approval of a simple majority of eligible faculty in the receiving TIU (e.g. if an associate professor-clinical is transferring, the eligible faculty are all tenured associate professors and professors and all non-probationary associate professors-clinical and professors-clinical).

Approval of the transfer by the Office of Academic Affairs is dependent on the establishment of mutually agreed upon arrangements between the administrators of the affected TIUs, including the TIU chairs, college dean(s), and the faculty member. An MOU signed by all parties, including the Office of Academic Affairs, must describe in detail the arrangements of the transfer. Administrative approval will be dependent on whether satisfactory fiscal arrangements for the change have been made. Since normally the transferring faculty member will fill an existing vacancy in the receiving unit, the MOU will describe the resources supporting the position, including salary, provided by the receiving unit.

5. Associated Faculty

The appointment of compensated associated faculty members follows a formal search following the [SHIFT](#) Framework, which includes a job posting in [Workday](#) (see Section IV.B) and candidate interviews. The appointment is then decided by the TIU chair based on recommendation from the search committee. The reappointment of all compensated associated faculty members is decided either by the TIU head in consultation with the TIU's relevant advisory body, or it is decided by the TIU chair following a vote of the eligible faculty, depending on departmental guidelines as specified in its Appointments, Promotion, and Tenure document.

Appointments to an unpaid associated faculty position require no formal search process.

Associated appointments are generally made for a period of one to three years, unless a shorter period is appropriate to the circumstances.

All associated faculty appointments expire at the end of the appointment term. Each TIU will establish a process for renewal of associated faculty.

6. Courtesy Appointments for Faculty

Any TIU faculty member may propose a 0% FTE (courtesy) appointment for a faculty member from another OSU TIU. A proposal that describes the uncompensated academic service to the courtesy TIU justifying the appointment must be approved by the chair in consultation with the faculty. The chair, in consultation with the faculty, must review all courtesy appointments every three years to determine whether they continue to be justified.

7. Joint Appointment

Any TIU may propose a joint appointment for a faculty member from another OSU TIU as described in Section V.A. Each TIU will describe in its Appointments, Promotion and Tenure Document the process by which these appointments are granted, the duration of the appointments and the procedures by which the appointments are renewed.

Approval of the joint appointment by the Office of Academic Affairs is dependent on the establishment of mutually agreed upon arrangements between the administrators of the affected TIUs, including the TIU chairs, college dean(s), and the faculty member. An MOU signed by all parties, including the Office of Academic Affairs, must describe in detail the arrangements of the joint appointment. Administrative approval will be dependent on whether satisfactory fiscal arrangements for the change have been made.

VI. ANNUAL PERFORMANCE AND MERIT REVIEW PROCEDURES

The annual performance and merit review of a faculty member is the responsibility of that faculty member's department chair or school director. This must be a thorough review that accurately reflects the faculty member's performance in the previous year.

- Depending on a faculty member's appointment type, the review is based on expected performance in teaching, scholarship, and/or service as set forth in the TIU's guidelines on faculty duties, responsibilities, and workload; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant.
- The review must include the College of Medicine's expectation for collegiality. Faculty are expected to set a high example of collegiality in the workplace with respect for personal boundaries.
- The review of faculty with budgeted joint appointments must include input from the joint appointment TIU chair for every annual evaluation cycle. The input should be in the form of a narrative commenting on faculty duties, responsibilities, and workload; on any additional assignments; and on goals specific to the individual in the joint unit.
- Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.
- Annual performance and merit reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment.
- Per Faculty Rule [3335-3-35](#), TIU chairs are required to include a reminder in annual review letters that all faculty have the right (per Faculty Rule [3335-5-04](#)) to view their primary personnel file and to provide written comment on any material therein for inclusion in the file.

All TIUs within the college must follow the requirements for annual performance and merit reviews as set forth in the [Policy on Faculty Annual Review and Reappointment](#). It is the expectation of the college that annual performance and merit reviews will also be consistent with a TIU's APT document and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the University Office of Academic Affairs, and (4) the Office of Human Resources.

The dean must assess an annual performance and merit review when a TIU has submitted (1) a Report of Non-Renewal of Probationary Appointment of Faculty; (2) the fourth-year review of a probationary faculty member; or (3) a Report of Contract Renewal or Non-Renewal for clinical faculty or research faculty. In each of these cases, the decision of the dean is final.

A. Documentation

All faculty are required to have an annual review by the chair or their designee. TIUs will establish a formal mechanism for the review of all faculty members during the course of each academic year. TIUs may create a standardized evaluation tool to suit their unique needs. Annual reviews must include an opportunity for a face-to-face meeting with the TIU chair or their designee. If a chair's designee conducts the annual review, there must be a mechanism for apprizing the chair of each faculty member's performance. The TIU chair or their designee will supply each faculty member with a written evaluation of their performance, in narrative format and must be signed by both the faculty member and TIU chair or designee. Each TIU will be responsible for implementing such a plan and describing the annual review procedure in its individual Appointments, Promotion and Tenure document.

B. Probationary Tenure-Track Faculty

Every probationary tenure-track faculty member is reviewed annually by the TIU chair or their designee, who meets with the faculty member to discuss their performance and future plans and goals and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. The role of any other faculty member (e.g. division director) in the annual review of probationary faculty must be described in the relevant TIU's APT document and must be consistent with college and University rules.

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

If the TIU Chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-03](#)) is invoked. Following completion of the comments process, the complete dossier is forwarded to the college for review and the Dean makes the final decision on renewal or nonrenewal of the probationary appointment.

1. Fourth Year Review

Each faculty member in the fourth year of probationary service must undergo a review using the same process as the review for promotion and tenure, with two exceptions: external letters of evaluation will not be required, and the dean (not TIU chairs) makes the final decision regarding

renewal or nonrenewal of the probationary appointment. In addition, review by the College of Medicine Promotion and Tenure Committee is not mandatory when both the TIU and the dean approve the renewal of the appointment. The objective of this review will be to determine if adequate progress towards the achievement of promotion and tenure is being made by the candidate.

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

In all cases, the dean or their designee independently evaluates all faculty in their fourth year of probationary appointment and will provide the TIU 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. Extension of the Tenure Clock

Faculty Rule [3335-6-03](#) (D) sets forth the conditions under which a probationary tenure-track faculty member may extend the probationary period (see below). Additional procedures and guidelines can be found in the University Office of Academic Affairs [Policies and Procedures Handbook](#).

C. Annual Review Procedures: Tenured Faculty

In large TIUs, the chair may designate the responsibility for the annual review of associate professors and professors to division directors or other appropriate unit administrators. A subcommittee of the eligible faculty may provide a written review if asked by the TIU chair or designee. Accountability for the annual review process resides with the TIU chair.

Associate professors are reviewed annually by the TIU chair or their designee. In the case of a designee, the designee submits a written performance review to the TIU chair along with comments on the faculty member's progress toward promotion. The TIU chair or designee conducts an independent assessment, meets with the faculty member to discuss their performance, collegiality, and future plans and goals, and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the TIU chair or their designee, who meets with the faculty member to discuss their performance, collegiality, and future plans and goals. The annual review of professors is based on their having achieved sustained excellence and ongoing outcomes in the discovery and dissemination of new knowledge relevant to the mission of the TIU, as demonstrated by: ongoing national and international recognition of their scholarship; ongoing excellence in teaching, mentoring learners or junior faculty; and ongoing outstanding service to the TIU, the university, the community and their profession, including their support for the mentoring and professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and learners, and in the recruitment and retention of junior colleagues. As the highest-ranking members of the faculty, the expectations for academic leadership and mentoring for professors exceed those for all other members of the faculty.

If a professor has an administrative role, the impact of that role and other assignments will be considered in the annual review. The TIU chair or their designee prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

D. Annual Review and Reappointment Procedures: Clinical Faculty

The annual review process for clinical probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty, respectively. A subcommittee of the eligible faculty may provide a written review if asked by the TIU chair or designee. Accountability for the annual review process resides with the TIU chair.

In the penultimate year of a clinical faculty member's appointment, a formal performance review is necessary to determine whether the faculty member will be offered reappointment. The reappointment review during the probationary period (i.e. initial term) requires either a dossier or a complete CV which is reviewed by the committee of eligible faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed. For subsequent reappointments, TIUs may determine the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). There is no presumption of renewal of contract.

E. Annual Review and Reappointment Procedures: Research Faculty

The annual review process for research faculty who are probationary and non-probationary is identical to that for tenure-track probationary and tenured faculty, respectively. A subcommittee of the eligible faculty may provide a written review if asked by the TIU chair or designee. Accountability for the annual review process resides with the TIU chair.

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. The reappointment review during the probationary period (i.e. initial term) requires either a dossier or a complete CV which is reviewed by the committee of eligible faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule [3335-6-08](#) must be observed. For subsequent reappointments, TIUs may determine the process for reappointment according to procedures set forth in the [Faculty Annual Review and Reappointment Policy, III, A-G](#). There is no presumption of renewal of contract. For faculty in one- and two-year appointment terms, TIUs must ensure these faculty receive the appropriate review and notification according to their term.

F. Annual Review Procedures: Associated Faculty

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

When considering reappointment of non-compensated associated faculty members, at a minimum, their contribution to the TIU must be assessed on an annual basis and documented for the individual's personnel file. This may take the form of self-evaluation. Neither a formal written review nor a meeting is required.

G. Salary Recommendations

TIU chairs make annual salary recommendations to the dean, who may modify them. The recommendations are based on the current annual performance and merit review as well as on the performance and merit reviews of the preceding 24 months. For clinicians, salary recommendations are under the auspices of the College of Medicine Compensation Plan.

It is the expectation of the college that merit salary increases and other rewards made by a TIU will be made consistent with that TIU's APT document and other relevant policies, procedures, practices, and standards established by: (1) the college, (2) the Faculty Rules, (3) the University Office of Academic Affairs, and (4) the Office of Human Resources.

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 collegiality, and assuring to the extent possible given financial constraints, that salaries reflect the market and are internally equitable by the TIU and subject to the Faculty Group Practice (FGP) Compensation Plan as appropriate.

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 24 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance and a pattern of consistent professional growth will be viewed positively. Faculty members whose performance is unsatisfactory in one or more core areas as defined by the TIU are likely to receive minimal or no salary increases.

Faculty who fail to submit the required TIU 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.

VII. PROMOTION AND TENURE, AND PROMOTION REVIEWS

A. Criteria

Outlined below are the College of Medicine's formal criteria for academic advancement, including promotion in each faculty category and awarding of tenure. This information is intended to provide a standard against which a TIU's Appointments, Promotion and Tenure document is evaluated for formal approval by the College of Medicine.

The College of Medicine expects that when a TIU forwards the dossier of a candidate for review and has recommended promotion and/or granting of tenure, every diligent effort has been made to ensure the qualifications of the candidate meet or exceed applicable criteria.

In evaluating a candidate's qualifications in teaching, scholarship, and service, reasonable flexibility will be exercised. For candidates being awarded tenure only or those moving to the rank of Professor, accomplishments since appointment to Associate Professor or the submission of their dossier for the last promotion are considered. As the College of Medicine diversifies and emphasizes interdisciplinary

endeavors (team science), program development, instances will arise in which the work of a faculty member may depart from traditional academic patterns. 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 are expected, they cannot be used as an independent criterion for promotion or tenure. It is recognized that 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 University and College of Medicine 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 on Professional Ethics](#)” of the American Association of University Professors.

Annually, the University Office of Academic Affairs establishes specific guidelines, procedures, and schedules for the review of candidates for promotion and tenure. The College of Medicine Office of Faculty Affairs 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 College of Medicine Office of Faculty Affairs will submit the dossier to the College’s Promotion and Tenure Committee for formal review. The committee will review the dossier, consistent with responsibilities described in Section VII.B.5 of this document 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.

Faculty Rule [3335-6-02](#) provides the context for promotion and tenure and promotion reviews.

In accordance with Faculty Rule [3335-6-02\(E\)](#), each TIU must have an APT document that describes (1) the unit’s criteria for the award of tenure and promotion to the rank of associate professor, and (2) the unit’s criteria for promotion to the rank of professor. Each TIU desiring clinical faculty must have in its APT document the unit’s criteria for promotion to the rank of associate professor and professor for its clinical faculty. Each TIU desiring research faculty must have in its APT document the unit’s criteria for promotion to the rank of associate professor and professor for its research faculty. TIU APT documents also must include the evidence to be provided in support of each of the foregoing actions that are relevant to that unit.

The purposes of the college-level promotion and tenure and promotion reviews are: (1) to determine whether the TIU has conducted its review and reached a recommendation consistent with University, college, and unit standards, criteria, policies, and rules; and (2) to determine where the weight of the evidence lies in cases in which there is not a clear or consistent recommendation from the TIU. If the conclusion of the college-level review is that the recommendation of the unit is not consistent with University, college, and TIU standards, criteria, policies, and rules, the dean may make a recommendation that is contrary to the recommendation of the TIU.

For each category of faculty appropriate to a TIU of this college and in a manner consistent with this document, a TIU’s APT document must describe (1) the criteria for promotion and tenure, as appropriate to the specific TIU; (2) the types of documentation that demonstrate impact and show that criteria have been met; (3) the levels of achievement necessary to meet the stated criteria within the context of the TIU’s mission, the standards of Chapters 6 and 7 of the Faculty Rules, the

standards, mission, and values of the college, and the mission of the University; and (4) criteria for evaluation of joint appointment candidates.

The standards of quality and effectiveness required must be representative of high performance. When a TIU forwards the dossier of a candidate for review and has recommended that promotion and tenure or promotion be granted, the college expects that the TIU has ensured the evidence of the qualifications and performance of the candidate meet or exceed the TIU and college criteria applicable to the nomination.

Defining Impact for Promotion for Tenure Track and Clinical Faculty.

Fundamental to promotion in all faculty appointment types (e.g., clinical, research, tenure track) are the totality of the impact of a candidate's body of work and the candidate's upward trajectory over time. Impact refers to the direct effect of one's work on science, education, medicine, healthcare, and/or community. The clinician educator and clinician scholar pathways, research faculty and tenure-track emphasize scholarly achievements, but the nature of scholarly activity, level of engagement, and measures of impact are specific to faculty appointment types and pathways within those appointment types. Community engagement will be carefully considered and refers to institutional, local, national, and international community contributions that are closely aligned with and complementary to a candidate's scholarly work.

The elements below highlight examples of how impact can be demonstrated. This is not intended to be a checklist of required contributions needed to achieve promotion. The biographical narrative should encapsulate the candidate's own description of demonstrated impact for the achievements listed.

Scholarly Activity

Fundamental to promotion in the clinician educator and clinician scholar pathways, research faculty and tenure-track is evidence of continuous scholarly productivity and an evaluation of the totality of the impact of a candidate's body of work. Any area of research consistent with mission of the College of Medicine (COM) is acceptable as long as impact and an upward trajectory of a candidate's achievements over time can be demonstrated. The nature of scholarly activity may also differ between faculty appointment types and pathways. For the clinical educator pathway, for example, scholarly activity typically focuses on the scholarship of education, including but not limited to innovative teaching and educational practices, delivery methods, and/or interventions, instructional design, and curriculum development. For the clinical scholar pathway, scholarly activity typically reflects translational sciences, clinical research, and/or health services research. For all faculty appointment types and pathways, demonstration of impact entails providing evidence of successful translation of new knowledge into new approaches, techniques, devices, programs, etc. and may include:

- Peer reviewed research papers, assessed by
 - a. Citations of published peer-reviewed work
 - b. Contribution to published peer-reviewed work
 - c. Authorship of published peer-reviewed work
 - d. Impact/quality of journals in which peer-reviewed work is published
- Grant funding from federal, industry, foundation and private sources
- Academic awards
- Participation in grant review study sections, organizing committees, etc.
- Editorial leadership roles
- External lectures and invited talks
- Patents and commercialization aligned with primary research program
- Identifiable contributions to collaborative research /team science

Education

Promotion in the clinical faculty and tenure-track is in part a recognition of the totality of the impact of a candidate's educational activities as measured by high quality engagement and sustained excellence. Promotion to professor requires ongoing engagement and demonstrated excellence in education.

High quality engagement

- Teaching in any of the defined categories of education within and outside of the COM
- Leadership roles in teaching or educational programs
- Innovation or novel application in local classroom teaching methods
- Development of new educational products such as curriculum, assessment tools or programs, policy statements, technologies such as simulation, etc.
- Development of new Masters or Doctoral degree programs.
- Leading or substantive participation in education-related committees
- Involvement in local mentoring programs, and outreach programs including those that promote health equity.
- Participation in CME, research, and inter-professional meetings
- Participation in the development of scholarly products related to education

Excellence in education

- Internal and external evaluations of teaching
- Outcomes of successful mentorship such as scholarly products, regional and national presentations by trainees/mentees, trainee/mentee career trajectory, etc.
- Course or program evaluations that reflect educational leadership roles
- Awards for teaching, mentoring, and other education contributions
- Invited lectures to disseminate new knowledge related to successful education programs, interventions, curricula that have been generated by the candidate
- Grant funding or scholarship specifically related to education activities
- National leadership roles in education/training committees and professional societies.

Clinical

For faculty who have clinical responsibilities, impact may be demonstrated as a result of:

- Contribution to the development of innovative clinical approaches to diagnosis, treatment or prevention of disease, applications of technologies and/or models of care delivery that influence care (e.g., community-based programs, clinical care models, practice guidelines, innovative application of existing or new technology, etc.)
- Service on committees in the candidate's area of clinical expertise with contributions to development of practice guidelines or policies for health equity, clinical management, evaluating clinical programs, etc.
- Leadership roles in professional organizations, courses or programs related to clinical expertise
- Invitations to share expertise through invited talks, book chapters, clinical reviews
- Awards for contributions and/or innovation in the area of clinical expertise
- Regional, national and international patient referrals
- Engagement/collaboration in clinical trials and clinical studies
- Clinical awards (e.g., Best Doctors, OSU Mazzaferri-Ellison Society of Master Clinicians, etc.).

Additionally, consideration should be given for the demonstration of impact via non-traditional methodologies including social media portfolios such as blog/vlog/podcast/vodcast authorship/editorial duties or professional media engagement on scholarly topics and consider incorporating the use of

Altmetrics to assess the impact of the candidate's work utilizing traditional and social media platforms (e.g. Digital scholarship):

Resources for non-traditional evidence of impact/reputation

Information on creating impact statements with Altmetric data may be found [here](#).

Cabrera D, Vartabedian BS, Spinner RJ, Jordan BL, Aase LA, Timimi FK. *More Than Likes and Tweets: Creating Social Media Portfolios for Academic Promotion and Tenure*. J Grad Med Educ. 2017 Aug;9(4):421-425. doi: 10.4300/JGME-D-17-00171.1. PMID: 28824752; PMCID: PMC5559234.

Husain A, Repanshek Z, Singh M, Ankel F, Beck-Esmay J, Cabrera D, Chan TM, Cooney R, Gisondi M, Gottlieb M, Khadpe J, Repanshek J, Mason J, Papanagnou D, Riddell J, Trueger NS, Zaver F, Brumfield E. *Consensus Guidelines for Digital Scholarship in Academic Promotion*. West J Emerg Med. 2020 Jul 8;21(4):883-891. doi: 10.5811/westjem.2020.4.46441. PMID: 32726260; PMCID: PMC7390542

1. Promotion of Tenure-Track Faculty

a. Associate Professor with Tenure

The awarding of tenure is an acknowledgment of excellence and future potential for preeminence. It requires evidence of consistent achievement throughout the professional life of the faculty member. Promotion to the rank of associate professor with tenure occurs when a faculty member exhibits convincing evidence of excellence in the discovery and dissemination of new knowledge, as demonstrated by a national level of impact and recognition of scholarship. In addition, excellence in teaching and service is required, but alone is not sufficient for promotion and awarding of tenure. The quality of these activities should be demonstrable at the college, university and/or national levels. Faculty being promoted to associate professor should exhibit professionalism and foster a safe and collaborative work environment. These three key areas of achievement: scholarship, teaching and service, are individually discussed below.

Achievement of national recognition and impact is a prerequisite for promotion to associate professor and awarding of tenure.

Scholarship: Demonstration of national recognition and impact for a program of scholarship is an essential requirement for promotion to associate professor and the award of tenure. National recognition and impact must be reflected in the record of scholarship, e.g. reflected by dissemination of new knowledge evidenced by publications and extramural funding. Scholarship is broadly defined as the discovery and dissemination of new knowledge. Achievement of excellence in scholarship is demonstrated by 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, team science, quality improvement, 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. Metrics that are useful in assessing a candidate's record of scholarship include but are not limited to the total number of publications since their appointment as an assistant professor, the number of citations of their publications, the trajectory of the publication and/or citation record, and the relative

proportion of first/senior or indispensable co-authorships. The impact factor of a journal may or may not reflect the quality of the scholarship. For example, in some areas of research the best journal in that area may have a relatively low impact factor but may be highly cited. Conversely, publication in journals with a very high impact factors is a reflection of broader interest but does not in and of itself demonstrate the impact of research.

National recognition and impact may also be demonstrated through non-traditional metrics [see Defining Impact above]. This can include but is not limited to social media portfolios such as blog/vlog/podcast/vodcast authorship/editorial duties or professional media engagement on scholarly topics. In addition, Altmetrics scores, non-academic invited presentations, or collaborations that advance the mission of the university or the field can all contribute to significant and high impact scholarship. However, these non-traditional metrics do not in and of themselves demonstrate the impact of research.

A sustained record of scholarly productivity, reflected by both quality and quantity, as an assistant professor is required for promotion to the rank of associate professor. Candidates for promotion to associate professor should ideally have 15-25 peer-reviewed publications since their appointment as an assistant professor. The final range of required publications is to be specified in the TIU Appointment, Promotion, and Tenure document. It is expected that the pattern of scholarship will include an increasing proportion of publications as first, senior, or corresponding author, but importance of other authorship positions as a key/indispensable contributor is to be considered. Specific metrics in support of excellence in scholarship may be discipline-specific and may be adjusted based on the overall pattern of responsibilities. For example, tenure track faculty with clinical responsibilities will have less time for research than non-clinician investigators. Therefore, flexibility in scholarship requirements can be exercised. The final range of required publications is to be specified in the TIU Appointment, Promotion, and Tenure document. Overall impact of scholarship is more important than meeting the minimum number of recommended publications. Candidates that show high impact and continued trajectory of their scholarship, should also be considered to be meeting scholarly expectations.

The dossier will require the demonstration of impact, not just the potential for impact [See Defining Impact above]. Impact refers to the direct effect of one's work on science, medicine, healthcare, and/or community. The assessment of impact for the rank of associate professor will focus on the review of the candidate's independent research program and contributions to collaborative research/team science that has resulted in the production of a series of peer reviewed original research articles and extramural grant funding. Although review articles may form a portion of the publication list (typically less than 30%) and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. Considered together, demonstration of impact and a national reputation of an independent or team science program of research is a prerequisite for promotion to associate professor and awarding of tenure. Participation in collaborative, multidisciplinary research and team science is highly encouraged. In cases where a faculty member's collaborative scholarship results primarily in middle authorship, the recognition and impact of their scholarship will be reflected through other indicators such as, but not limited to, the indispensability of the candidate's role and contribution in generating the publication(s), invitations to serve on editorial boards, study sections, national invitations to speak, etc.

Each TIU will define in their Appointments, Promotion and Tenure document an appropriate range of scholarly productivity, and must explicitly balance qualitative and quantitative accomplishments to guide the faculty member and the promotion and tenure decisions. Expectations regarding scholarship may be adjusted according to the extent of the faculty

member's commitment to clinical service, teaching, or administrative duties. The extent of those activities must be documented in the annual reviews of faculty members and must be included in the TIU promotion and/or promotion reviews. In addition, the nature of scholarship may vary amongst disciplines and must be appropriately specified in the document.

Evidence of sustained or multiple external peer reviewed grant support, national foundation awards, or large-scale industry collaborations is another crucial indicator of expertise in the field.

Candidates without significant clinical responsibilities: Candidates for promotion to associate professor with tenure who are without significant clinical responsibilities must have obtained NIH (or comparable) funding as a principal investigator (PI) or Multiple Principal Investigator (MPI) on a R01, P01, U54, or K award or other comparable funding, including but not limited to NSF, DoD, USDA, AHRQ, DARPA, RWJF, Commonwealth Fund, or Kaiser Family Foundation. They should have demonstrated sustainability of their research program by renewal of the award and/or by garnering a second distinct nationally competitive, peer reviewed grant. The latter may include support from prominent national charitable foundations (e.g., American Heart Association, American Lung Association, American Diabetes Association, American Cancer Society, the Lupus Foundation, the March of Dimes, etc.), a major industry grant, or other federal entities such as the Centers for Disease Control and Prevention, Department of Defense and the National Science Foundation. In some circumstances, (e.g. specific techniques) faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple grants will satisfy the requirement for extramural funding.

Candidates with significant clinical responsibilities: Candidates for promotion to associate professor with tenure who have significant clinical responsibilities are on the 11-year tenure clock. They are expected to obtain extramural NIH or comparable funding as defined in the previous paragraph as a PI, or MPI to support their research program prior to their mandatory tenure review. Competitive, peer-reviewed career development award funding, such as an NIH K award or national foundation career development award, is acceptable. Depending on the extent of clinical responsibilities, sustained funding through pharmaceutical or instrumentation companies for investigator-initiated proposals is acceptable. However, serving as the site-PI for a multi-center trial would not satisfy the expectation for extramural funding on the tenure-track. Faculty members who generate support for their research programs through creation of patents that generate licensing income or spin-off companies would meet the equivalent criteria of extramural funding.

Although the total body of scholarship over the course of a career is considered in promotion and tenure decisions, the highest priority is placed on scholarly achievements since appointment to the-tenure track at The Ohio State University. It should be appreciated that evidence of scholarship below the specified range, defined by the TIU, does not preclude a positive promotion decision especially if reasonable extenuating circumstances exist. Scholarship exceeding the specified range is not a guarantee of a positive tenure or promotion decision, especially if it occurs in isolation or in the context of poor performance in other areas such as evidence of teaching excellence.

Innovation and entrepreneurship that impact society are special forms of scholarship valued by the COM. Entrepreneurship includes patents and licenses of invention disclosures, software development, and materials transfers technology commercialization. Innovation can be demonstrated by designing and/or supervising the construction of creative products (e.g., new

technologies, devices, software, algorithms) which advance health-related science and healthcare, by developing and securing intellectual property such as patents, patent disclosures and licensing of university-developed intellectual property; by commercializing intellectual property through innovation and entrepreneurial activities such as entity creation, formation of startup companies and licensing and option agreements; by engaging in reciprocal partnership with the community, involving mutually beneficial exchanges of knowledge and the creation, delivery and assessment of timely, unbiased, educational materials and programs that address relevant, critical and emerging issues. Inasmuch as there are no expressly defined metrics for entrepreneurship, the College of Medicine will exercise flexibility in their evaluation. Generally, invention disclosures and copyrights will be considered equivalent to a professional meeting abstract or conference proceeding, patents should be considered equivalent to an original peer-reviewed manuscript; licensing activities that generate revenue should be considered equivalent to extramural grant awards; materials transfer activities should be considered evidence of national (or international) recognition and impact. These entrepreneurial activities will be recognized as scholarly or service activities in the promotion and tenure dossier.

Teaching and Mentoring: A strong and consistent record of effective teaching and mentoring is required for promotion and tenure. This may be demonstrated by positive evaluations by students, residents, fellows, local colleagues and/or national peers. The dossier must clearly document the faculty member's contribution and the impact of these efforts. Teaching awards and other honors are also highly supportive of teaching excellence. Teaching effectiveness may also be reflected by documented impact on teaching and training programs, including curricular innovation, new teaching modalities such as web-based design, mobile application, virtual teaching, or methods of evaluating teaching, program or course development, publications on teaching, and societal leadership in education. Development of high impact, innovative programs that integrate teaching, research and patient care are valued. Development of new masters or doctorate programs are highly regarded.

Service: Service includes administrative service to OSU, excellent patient care, clinical program development, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Evidence of service within the institution can include but is not limited to appointment or election to TIU, College of Medicine, hospital, and/or University committees or working groups, or leadership of programs. Evidence of service to the faculty member's discipline or public and private entities beyond the University can include, but is not limited to ad hoc journal reviews, editorial boards or editorships; grant reviewer for national funding agencies; elected or appointed offices held and other service to local and national professional societies; service on panels and commissions; and professional consultation to industry, government, education and non-profit organizations. Candidates can consider demonstrating impact of their work by use of social and traditional media (such as Twitter, Facebook, Instagram, Radio and Television) to promote community engagement advocacy and awareness.

Professional expertise provided as compensated outside professional consultation alone is insufficient to satisfy the service criterion.

b. Associate Professor in Advance of Tenure

Promotion to associate professor in advance of tenure is available to faculty members with significant clinical responsibilities who have probationary periods of up to 11 years. For these cases, promotion and tenure can be uncoupled. The criteria for promotion will require a level and pattern of achievement that demonstrates the candidate is making significant progress toward

tenure but has not yet achieved all the requisite criteria for promotion with tenure. Specifically, the candidate should demonstrate evidence of an emerging national recognition.

A TIU may propose a faculty member for promotion consideration (in advance of tenure) in cases where a faculty member is making progress but has not achieved the necessary requirements for tenure. In addition, faculty committees (at the TIU or college) or administrators (chair or dean) may determine that a faculty member's accomplishments do not merit tenure and may recommend promotion in advance of tenure even if a faculty member has requested promotion with tenure. Promotion in advance of tenure may only occur if a candidate is not in the mandatory review year. If a clinician candidate is promoted in advance of tenure, the tenure review must occur within six years, and no later than the mandatory review year, whichever comes first.

Scholarship: Evidence of (substantial progress toward the establishment) of a thematic program of scholarship as reflected by a consistent and increasing number of peer reviewed publications as first or senior author or evidence as a key/indispensable co-author. Candidates for promotion to associate professor in advance of tenure should ideally have 10-15 peer-reviewed publications since their appointment as an assistant professor. The final range of required publications is to be specified in the TIU Appointment, Promotion, and Tenure document. Overall impact of scholarship is more important than meeting the minimum number of recommended publications. Evidence for emerging national recognition may include, but is not limited to, invitations to serve as ad hoc journal reviewer and invited lectures outside of the university. National/international reputation/impact may also be demonstrated in part through non-traditional metrics (e.g. social media portfolios, Almetrics scores) [See Defining Impact above].

Criteria for a promising trajectory in extramural funding might be reflected by serving as a PI on an R21, R03, K awards or equivalent grants, co-I on an R01 NIH grant award, as PI on foundation or other extramural grants.

Each TIU must define a range of productivity that is below the range specified for promotion with tenure to serve as a guideline for faculty and for faculty annual evaluations. TIU criteria must explicitly balance qualitative and quantitative criteria for promotion. Furthermore, the TIU Appointments, Promotion and Tenure document must stipulate that evidence of scholarship below the specified range does not preclude a positive promotion decision and evidence of scholarship above the specified range does not guarantee a favorable tenure decision.

Teaching and Mentoring: Indicators of teaching consistent with promotion in advance of tenure might include a record of teaching excellence involving a single group of trainees, and/or a clear trend of improving teaching evaluations. Teaching excellence may also be demonstrated through evaluations for presentations at other academic institutions, scientific or professional societies, or other hospitals. Development of new master's or doctorate programs are highly regarded.

Service: Indicators of service consistent with promotion in advance of tenure might include service primarily within the institution with an early record of service outside the institution. This might also include activities as an ad hoc reviewer for journals, or service on the advisory board for local organizations.

c. Promotion to Professor

Awarding promotion to the rank of professor with tenure must be based upon convincing, unequivocal evidence the candidate has a sustained eminence in their field with a record of achievement recognized by national leadership and/or international recognition and impact [See Defining Impact above]. The general criteria for promotion in scholarship, teaching and service require more advanced and sustained quantity, quality, and impact than that required for promotion to associate professor. Importantly, the standard for external reputation is substantially more rigorous than for promotion to associate professor with tenure. This record of excellence must be evident from activities undertaken and accomplishments achieved since being appointed or promoted to the rank of associate professor. Demonstration of sustained national leadership and/or international recognition and impact, are an essential requirement for promotion to professor. It is expected that the faculty member will have a consistent record of high-quality publications with demonstrated impact well beyond that required for promotion to associate professor. Faculty being promoted to professor should exhibit professionalism, positive values and foster a safe and collaborative work environment.

Scholarship: A sustained record of external funding and an enhanced quality and quantity of scholarly productivity as an associate professor is required for promotion to professor. Candidates for promotion to professor should ideally have 20-35 peer-reviewed publications since their promotion to associate professor. The final range of required publications is to be specified in the TIU Appointment, Promotion, and Tenure document. It is expected the pattern of scholarship will include a substantial proportion of publications as senior or corresponding author as well as other authorship positions as a key/indispensable contributor. Overall impact of scholarship is more important than meeting the minimum number of recommended publications. Candidates for promotion will be expected to have developed and maintained nationally competitive current and sustained peer reviewed extramural funding to support their research program.

Candidates without significant clinical responsibilities: At a minimum, candidates for promotion to professor who do not have clinical responsibilities must be a PI or multiple-PD/PI on at least one NIH funded R01 or equivalent grant (e.g. but not limited to NSF, DoD, USDA, AHRQ, DARPA, RWJF, Commonwealth Fund, or Kaiser Family Foundation) with a history of at least one competitive renewal and another nationally competitive grant, or have simultaneous funding on two NIH R01 level awards. This may include support from prominent national charitable foundations (e.g., American Heart Association, American Lung Association, American Diabetes Association, American Cancer Society, the Lupus Foundation, the March of Dimes, etc.), a major industry grant, or other federal entities such as the Centers for Disease Control and Prevention, Department of Defense, and the National Science Foundation. In some circumstances (e.g. specific techniques), a faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple NIH grants will satisfy the requirement for extramural funding.

Candidates with significant clinical responsibilities: Candidates for promotion to professor who have clinical responsibilities are expected to obtain extramural NIH or comparable funding as defined above as a PI or MPI to support their research program. Depending on the extent of clinical responsibilities, sustained funding through pharmaceutical or instrumentation companies for investigator-initiated proposals is acceptable. Serving as the site-PI for a multi-center trial would not satisfy the expectation for extramural funding on the tenure track. Faculty members who generate support for their research programs through creation of patents that generate licensing income or spin-off companies would meet the equivalent criteria of extramural funding. In some circumstances, (e.g., specific techniques) faculty member's expertise may not justify PI

level status. In such cases serving as a co-investigator on multiple NIH grants will satisfy the requirement for extramural funding.

Examples of evidence of national leadership or an international reputation include but are not limited to election or appointment to a leadership position in a national or international society, service as a national committee or task force chair, chair of an NIH or other federal review panel, regular membership on an NIH study section, peer recognition or awards for research, editorial boards or editorships of scientific journals, and invited lectures at hospitals or universities outside the country or at meetings of international societies. National/international reputation/impact may also be demonstrated in part through non-traditional metrics (e.g. social media portfolios, Altmetrics scores) [See Defining Impact above].

Teaching and Mentoring: A continued strong and consistent record of effective teaching and mentoring is required for promotion. Evidence may include, but is not limited to, outstanding student, resident, fellow, local colleague, and/or national peer evaluations, course or workshop leadership and design, a training program directorship, teaching awards, and organization of national course and curricula and participation in specialty boards or Residency Review Committees of the Accreditation Council for Graduate Medical Education. Active participation as a mentor in training grants such as NIH T32 or K awards is highly valued as a teaching and mentoring activity. Development of new master's or doctorate programs are highly regarded. Candidates with clinical duties should demonstrate consistent and effective teaching of trainees and practicing clinicians, and leadership in the administration of clinical training programs.

Mentorship of junior faculty is expected for candidates for promotion to professor. It is presumed this will take the form of a primary mentoring relationship and not just ad hoc career coaching. Candidates should provide evidence of the impact of their mentorship.

Service: Promotion to the rank of professor requires service to the COM, OSU, and in national and international professional societies. Service can include but is not limited to leadership roles on OSU committees, in professional organizations and journal editorships. Evidence of the provision of professional expertise could include roles as a board examiner, service on panels and commissions, program development, and professional consultation to industry, government, and education.

2. Promotion of Clinical Faculty

Clinical faculty members typically pursue careers as clinician scholars, clinician educators or clinical practitioners and innovators (excellence).

Clinical faculty members on the Clinical Educator and Clinical Scholar pathways primarily direct their effort towards clinical responsibilities, including but not limited to patient care, clinical administrative responsibilities, bedside and clinical teaching, and clinical scholarship. Scholarship for clinical faculty is no less important but is often of different forms and domains of emphasis than for those in the tenure track. Clinical faculty members on the Clinical Excellence pathway ordinarily dedicate 80% effort towards clinical responsibilities, including but not limited to patient care and bedside and clinical teaching. Clinical faculty members are not eligible for tenure.

Clinical faculty members may continue their service to the TIU and the University without ever seeking promotion to the next higher faculty rank through repeated reappointment at the same level. However, the goals and objectives of the college and the University are best served when all faculty members strive for continued improvement in all academic areas as measured by meeting or exceeding the requirements for promotion to the next faculty rank.

With the exception of the clinical excellence pathway, promotion to the rank of associate professor in the clinical faculty must be based upon convincing evidence that the candidate has developed at least a local level of impact as an educator and a national level of impact and recognition for their clinical work since being appointed to the rank of assistant professor.

a. Associate Professor, Clinician Educator Pathway

Promotion to associate professor on the clinical faculty in the clinician educator pathway is based upon convincing evidence the candidate has developed a level of impact and recognition as a clinician educator since being appointed to the rank of assistant professor. Excellence is not required in all domains. The clinician educator pathway may reflect effectiveness as an educator of trainees at any level. Alternatively, the clinician educator pathway may reflect an outstanding clinician who has a demonstrated record of educating colleagues and peers, such as through invitations to serve as faculty on continuing medical education programs.

Teaching and Mentoring: A strong and consistent record of effective teaching and mentoring is required for promotion. Effectiveness may be measured by various metrics including, but not limited to curriculum/web-based design and implementation, innovative teaching practices, modules, incorporating social and digital media-based education, and publications. Consistently positive teaching evaluations by students, trainees, and peers are required. Peer evaluation is required on a recurring basis for all faculty members (see dossier documentation section). Effectiveness may also be reflected by teaching awards or other honors. Clinician educators may also demonstrate national impact through invitations to serve as faculty on national continuing medical education programs or societal leadership in education or other national activities. In all cases, evidence of improved educational processes or outcomes (i.e., impact) is required. Development of new master's or doctorate programs are highly regarded.

Service: Service is broadly defined to include: administrative service to the University; exemplary patient care; program development relating to clinical administration and leadership; professional service to the faculty member's discipline; the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to: peer reviews of manuscripts and grant applications; service on editorial boards; service to the community as pertains to the candidate's specialty; engagement with community partners to provide equitable access to healthcare; development of innovative programs, such as those leveraging healthcare informatics; development of programs that advance the mission of the university including creation and maintenance of programs to deliver healthcare to the community; leadership positions in professional societies. Candidates can consider demonstrating impact of their work by using social and traditional media (such as Twitter, Facebook, Instagram, Radio and Television) to promote community engagement advocacy and awareness.

Scholarship: The candidate must demonstrate contributions to scholarship, a portion of which should be peer-reviewed journal publications either focused on the pedagogy of education or based on their clinical expertise. Faculty in the clinician educator pathway may focus on the pedagogy of education and publish in this domain. Examples include papers regarding innovative teaching techniques, scholarly review articles and book chapters focused on education theory, new curricula, and methods of evaluation. Grant funding is not required for promotion but is not discouraged. In addition to measuring impact of scholarship via traditional metrics, TIUs should consider including social media portfolios such as blog/vlog/podcast/vodcast authorship/editorial duties or professional media engagement on scholarly topics and consider incorporating the use of Altmetrics to assess the impact of the

candidate's work using traditional and social media platforms [see Defining Impact above]. However, these non-traditional metrics do not in and of themselves demonstrate the impact of research.

Alternatively, other faculty members in the clinician educator pathway may publish works based on their areas of clinical expertise which form the basis for their teaching of colleagues and peers. These may include, but are not limited to review papers, book chapters as well as original investigator-initiated studies related to their area of clinical practice. Some faculty members may combine these two areas of career emphasis. For both types of faculty careers, development of web-based or video-teaching modules and other digital media are considered to be published works. In the current era of team and collaborative scholarship, it is recognized that meaningful scholarship is not uniformly represented by first or senior authorship. Works in which the faculty member's individual and identifiable expertise was essential to the publication are regarded as having merit equivalent to those that are first or senior author. A range of 10-15 scholarly written or digital publications of this type since appointment as an assistant professor is suggested as a scope of work consistent with promotion to associate professor. The final range of required publications is to be specified in the TIU Appointment, Promotion, and Tenure document. However, this range does not represent an inflexible requirement for promotion.

b. Professor, Clinician Educator Pathway

The awarding of promotion to the rank of professor on the clinical faculty, clinician educator pathway, must be based upon convincing evidence the candidate has developed a national level of impact as an educator or international recognition since appointment or promotion to the rank of associate professor. Evidence of recognition should be related to the primary focus of the pathway (clinical or didactic education), but can also be related to clinical, scholarship activities, or professional service. Excellence is not required in all domains.

Teaching and Mentoring: A documented record of sustained teaching and mentoring excellence is required for promotion. Candidates must demonstrate the impact of their teaching and mentoring. Sustained positive evaluations by students, residents, fellows, local colleagues and/or national peers are required. Multiple teaching awards and other honors are indicative of this level of teaching excellence but are not required. Candidates must demonstrate favorable impact on teaching and training programs, such as curriculum/web-based innovation, new teaching modalities or methods of evaluating teaching, and/or program or course development. Other examples include the development of multiple innovative programs that have a positive impact on integrating teaching, research and patient care or incorporating social and digital media-based education. Development of new master's or doctorate programs are highly regarded.

Teaching excellence may also be demonstrated through committee appointments in national education committees such as Accreditation Council for Graduate Medical Education, National Medical Association, American Association of Higher Education, Association of American Colleges and Universities or Association of American Medical Colleges, including specialty boards or professional societies at the national level.

Mentorship of junior faculty is an expectation for faculty being considered to the rank of professor. Candidates should demonstrate evidence of mentoring or other career development activities for other faculty members.

Service: Service to the institution and profession is an expectation for promotion to professor. Service is broadly defined to include administrative service to the University, patient care,

program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to peer reviews of manuscripts and grant applications; service on editorial boards; development of innovative programs that advance the mission of the university, such as creation and maintenance of a program to deliver healthcare to the community; leadership positions in professional societies. In addition, invitations to serve as external evaluators for promotion candidates from peer institutions reflect a national reputation. Candidates can consider demonstrating national and/or international impact of their work by utilization of social and traditional media (such as, but not limited to, Twitter, Facebook, Instagram, Radio, and Television) to promote community engagement advocacy and awareness.

Scholarship: The candidate must demonstrate contributions to scholarship, a majority of which should be peer-reviewed journal publications. Candidates must demonstrate the impact of their scholarship. Faculty in the clinician educator pathway may focus on the pedagogy of education and publish in this domain. Examples include papers regarding innovative teaching techniques, scholarly review articles and book chapters focused on education theory or new curricula. Grant funding is not required for promotion but is not discouraged. In addition to measuring impact of scholarship via traditional metrics, TIUs should consider including social media portfolios such as blog/vlog/podcast/vodcast authorship/editorial duties or professional media engagement on scholarly topics and consider incorporating the use of Altmetrics to assess the impact of the candidate's work utilizing traditional and social media platforms [see Defining Impact above]. However, these non-traditional metrics do not in and of themselves demonstrate the impact of research.

Alternatively, other faculty members in the clinician educator pathway may publish works based on their areas of clinical expertise which form the basis for their teaching of colleagues and peers. These may include, but are not limited to, review papers, book chapters as well as original investigator-initiated studies related to their area of clinical practice. Some faculty members may combine these two areas of career emphasis. Development of web-based or video-teaching modules and other digital media are considered to be published works. In the current era of team science and collaborative scholarship, it is recognized that meaningful scholarship is not uniformly represented by first or senior authorship. Works in which the faculty member's individual and identifiable expertise was essential to the publication are regarded as having merit equivalent to those that are first or senior author. A range of 15-20 scholarly written or digital publications of this type since appointment or promotion to associate professor is suggested as a scope of work consistent with promotion to professor. The final range of required publications is to be specified in the TIU's Appointment, Promotion, and Tenure document. However, this range does not represent an inflexible requirement for promotion.

c. Associate Professor, Clinician Scholar Pathway

The awarding of promotion to the rank of associate professor on the clinical faculty, clinician scholar pathway, must be based upon convincing evidence the candidate has developed a national level of impact and recognition as a clinician scholar since being appointed to the rank of assistant professor. Evidence of national recognition and impact should be related to the primary focus of this pathway (scholarship), but can also be related to clinical, educational, or professional service but is not required in all domains.

Teaching and Mentoring: A strong and consistent record of effective teaching and mentoring is required for promotion. This may be demonstrated by positive evaluations by students,

residents, fellows, local colleagues and/or national peers. Teaching evaluations may be based on presentations internally or at other academic institutions, bedside teaching scores, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, etc. Teaching awards and other honors are also supportive of a strong teaching record but are not required. Peer evaluation is required on a recurring basis for all faculty members (see dossier documentation section).

Scholarship: Demonstration of impact and a national reputation for scholarship is a prerequisite for promotion to associate professor. The candidate must demonstrate scholarship typically reflected by primary, senior or corresponding authorship of peer-reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational clinical, or health services research projects, or in clinical trials as PI or Co-I. Participation in collaborative, multidisciplinary research and team science is valued. Faculty members who participate in team science may have a record of scholarship primarily as middle author. In these cases, there must be evidence from other domains of national recognition of the faculty member's unique expertise (e.g., invitation to serve on study sections, invitation to speak at national meetings, etc). In general, a range of 10-20 peer reviewed publications since appointment to assistant professor is expected. The final range of required publications is to be specified in the TIU Appointment, Promotion, and Tenure document. The dossier will require the demonstration of impact, not just the potential for impact. In addition to measuring impact of scholarship via traditional metrics, TIU's should consider including social media portfolios such as blog/vlog/podcast/vodcast authorship/editorial duties or professional media engagement on scholarly topics and consider incorporating the use of Altmetrics to assess the impact of the candidate's work utilizing traditional and social media platforms [see Defining Impact above]. However, these non-traditional metrics do not in and of themselves demonstrate the impact of research. Although review articles may form a portion of the publication list (typically less than 30%) and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion.

Faculty on this pathway should have acquired some degree of internal or external funding as Co-I in support of their program of scholarship. Funding could include internal grants or contracts from foundation, industry, industry sponsored investigator initiated clinical trials, or government agencies as appropriate in their field. Alternatively, entrepreneurship and inventorship are also evidence of scholarly activity.

Service: Service is broadly defined to include administrative service to the University, exemplary patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to: peer reviews of manuscripts and grant applications; service on editorial boards; development of innovative programs that advance the mission of the university, such as creation and maintenance of a program to deliver healthcare to the community; leadership positions in professional societies.

d. Professor, Clinician Scholar Pathway

The awarding of promotion to the rank of professor on the clinical faculty, clinician-scholar pathway, must be based upon convincing evidence that the candidate has developed national leadership or international recognition as a clinician scholar since being appointed to the rank of associate professor. Evidence of national leadership or international recognition and impact

should be related to the primary focus of this pathway (scholarship), but can also be related to clinical, educational, or professional service but is not required in all domains.

Teaching and Mentoring: A strong and consistent record of effective teaching and mentoring is required for promotion to professor. This may be demonstrated by positive evaluations by students, residents, fellows, local colleagues, and national peers. Teaching evaluations may be based on presentations internally or at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, etc. Teaching awards and other honors are also supportive of a strong teaching record but are not required. Peer evaluation is required on a recurring basis for all faculty members (see dossier documentation section). Candidates should demonstrate consistent effective teaching of trainees and practicing clinicians, and leadership in the administration of clinical training programs.

Mentorship of junior faculty is an expectation for faculty being considered to the rank of professor. It is presumed this will take the form of a primary mentoring relationship, and not just ad hoc career coaching. Candidates must demonstrate evidence of mentoring or other career development activities for other faculty members. While not required, active participation as a mentor in training grants such as K-awards and other such mentored programs is very highly valued as a teaching and mentoring activity.

Scholarship: Demonstration of a sustained and expanded impact and national reputation for scholarship is a prerequisite for promotion to professor. The candidate must demonstrate scholarship typically as reflected by primary, senior or corresponding author of peer-reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational or clinical, or health services research projects or in clinical trials as PI or Co-I. Participation in collaborative, multidisciplinary research and team science is highly valued. Faculty members who participate in team science may have a record of scholarship primarily as middle author. In these cases, there must be evidence from other domains that demonstrate at the national level the faculty member's unique expertise (e.g. invitation to serve on study sections, invitation to speak at national meetings, etc.). In general, a range of 20-30 peer reviewed publications since appointment to associate professor is expected. The final range of required publications is to be specified in the TIU Appointment, Promotion, and Tenure document. The dossier will require the demonstration of impact, not just the potential for impact. In addition to measuring impact of scholarship via traditional metrics, TIUs should consider including social media portfolios such as blog/vlog/podcast/vodcast authorship/editorial duties or professional media engagement on scholarly topics and consider incorporating the use of Altmetrics to assess the impact of the candidate's work utilizing traditional and social media platforms [see Defining Impact above]. However, these non-traditional metrics do not in and of themselves demonstrate the impact of research. Although review articles may form a portion of the publication list and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will also contain peer-reviewed research articles, books, and book chapters or reviews.

Faculty on this pathway should have acquired internal or external funding (as PI or Co-I) in support of their program of scholarship. Funding could include internal grants or contracts from industry, foundation, industry sponsored investigator initiated clinical trials, or government agencies as appropriate in their field. Alternatively, entrepreneurship and inventorship are also evidence of scholarly activity.

Service: Promotion to the rank of professor requires service to the University, and in a national context. The faculty member should have increased levels of responsibility and leadership (e.g. committee chair or elected office in national or international organizations)

since appointment or promotion to associate professor. Candidates may have led the development of new and innovative clinical or clinical research programs which received national recognition. Professional service could include, but is not limited to, peer reviews of manuscripts and grant applications, service on editorial boards, leadership positions in professional societies.

e. Associate Professor, Clinical Excellence Pathway

Faculty members with predominantly clinical or clinical administrative responsibilities may be considered for promotion based on clinical excellence. Ordinarily these faculty have 80% or greater clinical and/or clinical administrative responsibilities; however, TIUs should define any deviations for the clinical excellence pathway in their TIU Appointment, Promotion, or Tenure documents. These faculty have distinguished themselves by having particularly outstanding clinical outcomes. These faculty are recognized for the scholarship of clinical practice or novel contributions to the advancement of the practice in their field. Local recognition for outstanding clinical care is a hallmark for promotion to associate professor in the clinical excellence pathway. National recognition is not a requirement. Promotion to the rank of associate professor on the clinical excellence pathway must be based upon convincing evidence for outstanding clinical outcomes, and a record of impact relating to clinical care. Additionally, a record that demonstrates a faculty member's clinical expertise is recognized outside the OSU system through social and digital media outlets can also be used to demonstrate impact. However, these non-traditional metrics do not in and of themselves demonstrate clinical excellence. Promotion will not be granted purely on the basis of length of service to the institution, clinical productivity, or satisfactory job performance. The specific clinical criteria for excellence will vary from TIU to TIU. A faculty member who qualifies for promotion on this pathway should have supportive annual evaluations that document clinical effort in the years leading up to promotion on this pathway.

These faculty are expected to support the overall mission of the TIU, but the focus on promotion is the demonstration of clinical excellence. The documentation and demonstration of outcomes or impact is required. It is not expected that candidates will meet all of the examples below, but meeting only one will not satisfy the demonstration of collective impact of excellence.

Examples of excellence may include, but are not limited to:

- A. Multiple lines of evidence supporting excellence in clinical performance, including discipline relevant clinical measures such as, but not limited to quality indicators, mortality metrics, complication rates, turnaround times, readmission rates, process improvements, reduction in health disparities, and improvements in community health outcomes where performance measures can easily be internally and externally benchmarked for comparison. TIUs should incorporate mechanisms to recognize new and emerging methods of dissemination including websites, social media, etc. Clinical productivity metrics (e.g. work Relative Value Units (wRVU)) per se, are not sufficient for supporting excellence in clinical performance.
- B. Preferred provider recognition. Referral patterns or other metrics that indicate acknowledgment of a faculty member's expertise such as, but not limited to, the number of cases referred for a second opinion, patients referred from other states or other regions within Ohio. Traditional and social media can be used to exemplify the impact of the faculty member's excellence (e. g. disease specific Facebook forums, Twitter etc.)
- C. A record that demonstrates that a faculty member is frequently consulted by physicians from outside the OSU system for advice about patient care. This can be in the form of

- traditional peer-peer consultation, however, TIUs should consider using flexibility in assessing media/social media-related consultation methods (e.g. WhatsApp, email etc.)
- D. Evidence that physicians from other medical centers come to OSU/NCH specifically for training by the faculty member, or request proctoring at their home institution by the faculty member.
 - E. A record that demonstrates the faculty member has been invited to lecture locally, regionally or at other hospitals, academic medical centers, or statewide professional societies.
 - F. Clinical program development. Evidence that a faculty member has developed a new program or led improvements in an existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted within the medical center or by other institutions or practices.
 - G. Evidence that a faculty member has developed clinical innovations that have been adopted by other physicians within or outside the medical center. For example, innovations that improve delivery of care, such as developing new techniques, implementing new technology, better patient engagement.
 - H. Evidence the faculty member participates as an instructor or is involved with the development of education activities at local or state levels that are in person, virtual, or web based.
 - I. Selection for inclusion in physician rankings such as Best Doctors, Castle-Connolly, U.S. News Physicians Survey or similar rankings (e.g. expertscales).
 - J. Receipt of awards from local, state, national organizations for clinical excellence.
 - K. Participation in the development of institutional or statewide practice guidelines.
 - L. Operational improvements that make practice more efficient, effective, easier to access, or more cost effective.
 - M. Evidence for development of programs to identify healthcare disparities or programmatic changes to advance equitable healthcare delivery.

f. Professor, Clinical Excellence Pathway

Faculty members with predominantly clinical or clinical administrative and/or leadership responsibilities may be considered for promotion based on clinical excellence. Ordinarily these faculty have 80% or greater clinical and/or clinical administrative responsibilities; however, TIUs should define any deviations for the clinical excellence pathway in their TIU Appointment, Promotion, or Tenure documents. These faculty have distinguished themselves by having particularly outstanding clinical outcomes. These faculty are recognized for the scholarship of practice or novel contributions to the advancement of the practice in their field. State and national recognition for outstanding clinical care is a hallmark for promotion to professor in the clinical excellence pathway. Promotion to professor in the clinical excellence pathway must be based upon convincing evidence the candidate has demonstrated a sustained and enhanced level of excellence in clinical care and has developed a national impact and recognition since being appointed to the rank of associate professor. Mentorship of junior faculty is an expectation for faculty being considered to the rank of professor.

Promotion will not be granted solely on the basis of length of service to the institution, time in rank, clinical productivity, or satisfactory job performance. The specific clinical criteria for excellence will vary from TIU to TIU. A faculty member who qualifies for promotion on this pathway should have supportive annual evaluations that document increasing clinical impact and performance since achieving the rank of associate professor. These faculty are expected to support the research and teaching mission of the TIU, but the focus of the promotion review is on demonstration of clinical excellence. The documentation and demonstration of outcomes or impact is required. It is not expected that any candidate will meet all of the

examples below but meeting only one will not satisfy the demonstration of collective impact of excellence.

Examples of excellence may include, but are not limited to:

- Multiple lines of evidence supporting excellence in clinical performance, including discipline-relevant clinical measures such as, but not limited to quality indicators, mortality metrics, reduction in health disparities, improvements in community health outcomes, complication rates, turnaround times, readmission rates, and process improvements where performance measures can easily be internally and externally benchmarked for comparison. TIUs should incorporate mechanisms to recognize new and emerging methods of dissemination including websites, social media, etc. Clinical productivity metrics (e.g. wRVU) per se, are not sufficient for supporting excellence in clinical performance.
- Preferred provider recognition. Referral patterns or other metrics that indicate acknowledgment of a faculty member's expertise such as but not limited to the number of cases referred for a second opinion, patients referred from other states or other countries. Traditional and social media can be used to exemplify the impact of the faculty member's excellence at the national/international level (e.g. disease-specific Facebook forums, Twitter etc.)
- A record that demonstrates a faculty member is frequently consulted by physicians from outside the OSU system for advice about patient care.
- Evidence that physicians from other medical centers outside of Ohio come to OSU/NCH specifically for training by the faculty member, or request proctoring at their home institution by the faculty member.
- A record that demonstrates the faculty member has been invited to lecture nationally at hospitals, academic medical centers, or national professional societies.
- Clinical program development. Evidence a faculty member has developed a new program or led improvements in an existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted within the medical center or by other institutions or practices.
- Evidence a faculty member has developed clinical innovations that have been adopted by other physicians within or outside the medical center. For example, innovations that improve delivery of care, such as developing new techniques, implementing new technology, better patient engagement.
- Evidence a faculty member participates as an instructor or is involved with the development of education activities at the state or national level that are in person, virtual, or web based.
- Selection for inclusion in physician rankings such as Best Doctors, Castle-Connolly, U.S. News Physicians Survey or similar rankings (e.g. expertscales).
- Receipt of awards from state or national organizations for clinical excellence.
- Participation in the development of national practice guidelines.
- Operational improvements that make practice more efficient, effective, easier to access, or more cost effective.
- Continued evidence of the increasing impact at the state or national level of programs developed to identify healthcare disparities or programmatic changes to negate the effect of inequitable healthcare delivery.
- Demonstrating regional or national recognition of this work e.g. programs being incorporated at peer institutions.

- Evidence of faculty member's administrative leadership involves creativity, innovation, and is evaluated by outcomes. These leadership roles may include the following:
 - Health system leadership of patient care programs, operations, or health care finance.
 - Leadership at the Departmental, College, University or national level of programs that advance disease prevention, patient care or faculty and staff wellness.

3. Promotion of Research Faculty

The criteria for promotion focus entirely on the category of research. Since research faculty typically have a supportive role in research programs, the expectations for scholarship are quantitatively and qualitatively different than those for faculty on the tenure-track.

a. Research Associate Professor

Candidates for promotion to research associate professor are expected to demonstrate the beginnings of national recognition of their expertise. This may be reflected by (but not limited to) invitations to review manuscripts or grant applications, invitations to lecture at scientific societies or other universities, consultation with industry or governmental agencies, requests for collaboration from other universities, request to serve in central roles on multi-center studies, etc. National reputation/impact may also be demonstrated in part through non-traditional metrics (e.g. social media portfolios, Altmetrics scores) [See Defining Impact above].

Research faculty typically are not expected to establish an independent program of research. Promotion to associate professor requires documentation of a sustained and substantial record of scholarship based upon their expertise. Candidates typically should have 15-20 peer reviewed journal publications since their appointment as research assistant professors. The final range of required publications is to be specified in the TIU Appointment, Promotion, and Tenure document. First, senior, or corresponding authorships are typically not expected, but a faculty member should demonstrate their supportive role to the project. Overall, the number of publications required for promotion should be sufficient to persuasively characterize the faculty member's influence in helping to discover new knowledge in their field. Thus, both quality and quantity are important considerations. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive promotion decision. Similarly, records of scholarship below the specified range do not preclude a positive promotion decision.

Research faculty being promoted to associate professor are expected to demonstrate commitment to college and university values. Research faculty being promoted to associate professor should exhibit professionalism and foster a safe and collaborative work environment.

It is expected in general that the successful candidate will have a sustained record of 95% salary recovery. Research faculty typically serve as Co-Investigators, and independent extramural funding (Principal Investigator or Multiple Principal Investigator) is not required.

b. Research Professor

Promotion to the rank of research professor must be based upon convincing evidence the candidate has established a national level of recognition and impact beyond that which was established for promotion to associate professor. This may be reflected by (but not limited to) invitations to review manuscripts or grant applications, invitations to lecture at scientific

societies or other universities, consultation with industry or governmental agencies, requests for collaboration from other universities, requests to serve in central roles on multi-center studies, etc. National reputation/impact may also be demonstrated in part through non-traditional metrics (e.g. social media portfolios, Altmetrics scores) [See Defining Impact above].

Research faculty typically are not expected to establish an independent program of research. Promotion to professor requires documented evidence of a sustained and substantial record of scholarship. Candidates should have 20-30 peer reviewed journal publications since their appointment as research associate professor. The final range of required publications is to be specified in the TIU Appointment, Promotion, and Tenure document. Some first, senior, or corresponding authorships are expected. Alternatively, the candidate should document a supportive role to the project. Overall, the number of publications required for promotion should be sufficient to persuasively characterize the faculty member's influence in helping to discover new knowledge in their field. Thus, both quality and quantity are important considerations. It should be appreciated that scholarship exceeding the specified range is not a guarantee of a positive promotion decision. Similarly, records of scholarship below the specified range do not preclude a positive promotion decision.

Research faculty being promoted to professor are expected to demonstrate commitment to college and university values and should exhibit positive values and foster a safe and collaborative work environment.

It is expected that the successful candidate will have a sustained record of 100% salary recovery generally derived from extramural funds. Research faculty typically serve as Co-Investigators, and independent extramural funding (Principal Investigator or Multiple Principal Investigator) is not required.

4. Associated Faculty

Associated faculty for whom promotion is a possibility follow the promotion guidelines and procedures for tenure-track and clinical faculty (see Promotion and Tenure and Promotion Reviews above), with the exception that the review does not proceed to the college level if the TIU chair's recommendation is negative and does not proceed to the University level if the dean's recommendation is negative.

a. Compensated Associated Faculty (i.e., Practice)

For compensated associated faculty (paid through OSU, OSUP, or NCH) who are principally focused on patient care, the promotion criteria and procedures will be identical to those for the clinical excellence pathway, except that the decision of the Dean is final. For compensated associated faculty (paid through OSU, OSUP, or NCH) who contribute principally through educational activities, the promotion criteria and procedures will be identical to those for the clinician educator pathway, except that the decision of the dean is final.

b. Uncompensated Associated Faculty (i.e., Adjunct)

For uncompensated associated faculty, promotion should reflect contributions to the TIU or college that exceed the activities that represent the basis for their faculty appointment, in most cases related to the educational mission. At the associate professor level this could include service on TIU and or college committees, contributions to medical student curriculum development or other evidence of contributions to the educational or scholarly mission of the

TIU or college. For promotion to professor, the level of contribution must demonstrate sustained and enhanced engagement or leadership.

Procedures for promotion of uncompensated associated faculty:

- a. Submission of an updated CV
- b. Letters from two people, including the faculty member's immediate supervisor (i.e., division director or clerkship director), who can attest to the associated faculty member's contributions.
- c. Teaching evaluations if available
- d. Letter from the committee of eligible faculty including the vote
- e. Letter from the chair
- f. Review and approval by College of Medicine Office of Faculty Affairs.

B. Promotion and Tenure, and Promotion Review: Procedures for Tenure Track, Clinical, and Research Faculty

Each TIU must describe in detail the procedures for promotion and tenure, and promotion reviews, as part of its Appointments, Promotion and Tenure document. These procedures must be fully consistent with those set forth in University Rule [3335-6-04](#) and with the University Office of Academic Affairs' annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#). The basic requirements for promotion and tenure reviews are outlined in the following paragraphs.

In evaluating a candidate's qualifications in teaching, scholarship, and service, flexibility will be exercised, balancing (where appropriate) greater commitments and responsibilities in one area of performance against lesser commitments and responsibilities in another. As the College enters new fields of endeavor, including cross disciplinary involvement, and places new emphasis on its continuing activities, instances will arise in which the proper work of a faculty member may depart from established academic patterns. Generally, distinguished achievement in scholarship must include evidence of creative expression and innovation in the candidate's discipline.

The College of Medicine comprises a wide array of professional disciplines. Care must be taken to apply the criteria for appointment and promotion with sufficient flexibility. In all instances, outstanding accomplishment in accordance with the criteria set forth, is an essential qualification for appointment and promotion to all faculty positions. The candidate for promotion should demonstrate in their career a spirit of collaboration and alignment with the values and culture of the college. Maintaining these standards for all faculty is essential to enhance the University as an institution dedicated to the discovery and transmission of knowledge.

1. Candidate Responsibilities

Candidates for promotion and tenure or promotion within the College of Medicine are responsible for submitting a complete, accurate dossier and providing a copy of the APT document under which they wish to be reviewed, if other than their TIU's current document. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to their TIU's guidelines. Each of these elements is described in detail below.

- **Dossier**

Every candidate must submit a complete and accurate dossier that follows the University Office of Academic Affairs dossier outline. Candidates should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist. While the Promotion and Tenure Committee (*or Eligible Faculty*) makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by them. Please refer to the [APT Toolbox](#) for a wealth of information on completing a dossier.

Unless specifically stated in the core dossier, the time period for teaching documentation to be included in the dossier for probationary faculty is the start date of employment on the faculty at OSU to present. For tenured or non-probationary faculty, it is the date of last dossier submission for promotion or the last five years, whichever is less (and excluding any information that may have been considered for a previous promotion), to present. A TIU's eligible faculty may allow a candidate to include information prior to the date of last promotion if it believes such information would be relevant to the review. Any such material should be clearly indicated.

The time period for scholarship documentation to be included in the dossier is the entire duration of the faculty member's academic career (including residency or post-doctoral training). For faculty being considered for promotion to the rank of associate professor, the weight of the review is **from the start date of the faculty appointment** (including time on faculty at another institution) to the present. All scholarship outcomes will be reviewed for increasing independence over time and an increasing trajectory of significant scholarly outcomes over time. For faculty being considered for promotion at the rank of professor, the weight of the review is **from the date of the dossier submission for the promotion to associate professor to present**. Information about scholarship produced prior to that date may be provided. Any such material should be clearly indicated. However, it is the scholarship performance since the date of last promotion that is to be the focus of the evaluating parties. All scholarship outcomes will be reviewed for independence and, and a continued trajectory of significant scholarly outcomes.

The time period for service documentation to be included in the dossier for probationary faculty is the start date to present. For tenured or non-probationary faculty, it is the date of last dossier submission for promotion to present. The eligible faculty may allow a candidate to include information from before the date of last promotion if it believes such information would be relevant to the review. Where included, the candidate should clearly indicate what material is work completed since the date of the mandatory review, and what material is from prior to the mandatory review.

Departments may allow a dossier appendix to augment evidence for teaching, clinical excellence or scientific achievement if the Appointments, Promotion and Tenure Committee feels this information enhances understanding of a candidate's career achievements. This appendix, however, will not be forwarded to the Executive Vice President and Provost for final review.

The complete dossier is forwarded when the review moves beyond the TIU. The appendix as well as additional documentation of scholarly activity that is not part of the University

approved dossier that may be useful for the TIU and College review, will not be forwarded to the University level unless requested by the University Office of Academic Affairs.

Documentation

Faculty members preparing their dossiers for promotion and/or tenure review should consult Volume 3 of OAA's [Policies and Procedures Handbook](#) to ensure that all required documentation is included.

The following paragraphs provide suggested standards for documenting excellence in Teaching, Research and Scholarship, and Service.

i. Teaching

Teaching is defined as imparting knowledge, experience, insight, and skill to other persons. In the College of Medicine, teaching must be consistently effective and of high quality.

All tenure-track and clinical faculty members in the College of Medicine must be engaged in teaching, development of the TIU's and college's academic programs, and mentoring of students, residents, and fellows. Evidence of effective teaching must be demonstrated by documentation of teaching activities over a sustained period of time.

Each TIU must specifically establish in its Appointments, Promotion and Tenure document, how evidence of a faculty member's quality and effectiveness as a teacher will be documented and assessed. Evidence for effective teaching may be collected from multiple different sources including students, residents, peers, and administrators.

Yearly student evaluations, resident, and fellow evaluations (when applicable) and peer evaluations are required. One peer evaluation is required per year. Effectiveness in teaching is demonstrated by positive evaluations from students, residents, fellows, local colleagues, and national peers. Each TIU must establish a consistent methodology and assessment tool for teacher evaluation by students, residents & fellows in specific types of instructional settings. Importantly, administration of an assessment tool must not be under the control of the faculty member being evaluated. Faculty members may supplement the required assessment tool with others if they wish. Students, residents, and fellows must be provided an opportunity to assess the instructor and course using the required assessment tool in every regular classroom course. Guidelines must be established for the frequency with which required assessment tools should be administered in other types of instructional settings such as outpatient clinics, inpatient services, and the operating room. Regardless of the instructional setting, effort should be made to obtain evaluations from the largest number of students residents and fellows possible.

Typically, documentation of teaching for the promotion dossier should include the following items.

- cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every formal class
- medical student evaluations (e.g., Vitals)
- resident evaluations (e.g., MedHub)
- peer evaluation of teaching reports as required by the TIU's peer evaluation of teaching program (details provided in the Appendix to this document)
- teaching activities as listed in the core dossier including
 - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
 - mentoring postdoctoral scholars and researchers
 - extension and continuing education instruction
 - involvement in curriculum development
 - awards and formal recognition of teaching
 - presentations on pedagogy and teaching at national and international conferences
 - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching such as a teaching portfolio as appropriate

Peer evaluation is required on a recurring basis for all faculty members. Peer evaluations may include internal and/or external review of classroom instruction, clinical teaching, and course materials such as syllabi, examinations and instructional materials including textbooks. Assessment by observation of classroom and clinical teaching is most useful when done systematically over time and conducted with the specific goal of offering constructive suggestions.

Each TIU must have a well-delineated mechanism for peer evaluation of instruction that appropriately complements information received from students, residents, and fellows (see section X).

Other documentation of teaching may include a TIU chair or their designee assessment of the candidate's teaching load, contribution to the teaching mission of the academic unit, and contribution to curriculum development. Evidence of the success of the candidate's former students including professional and graduate students and post-doctoral trainees should be documented.

Peer evaluation resources can be found [here](#).

ii. Scholarship

Scholarship is broadly defined as the discovery and dissemination of new knowledge by research, study, learning and the scholarship of practice. This includes but is not limited to investigator initiated clinical trials and research based on cases or case series, educational outcomes research, development of academic modules, and entrepreneurship. The nature and amount of scholarship should be pertinent to the faculty member's track and pattern of responsibilities. In addition, TIUs should incorporate mechanisms to recognize new and emerging methods of dissemination of scholarship including websites, social media, etc.

Evaluation of scholarship must be open to the ongoing evolution of new scholarly domains in the medical sciences including scholarship of community engagement. In the College of Medicine, a faculty member's scholarship must be demonstrated to be of high quality, significance and impact. The TIU's Appointments, Promotion and Tenure document must specifically establish how the evidence of a faculty member's scholarship will be documented and assessed in terms of quality and significance and in relationship to the expectations of the track they are in.

All tenure-track, clinical, and research faculty members (with the exception of faculty on the clinical excellence pathway) must develop a record of scholarship that is documented by a body of original scholarly work over a period of time. Scholarship is broadly defined including all aspects of basic science, clinical research including clinical trials and research based on cases or case series, scholarship of teaching and learning, development of academic modules, entrepreneurship, etc. The evidence for scholarship must refer to original, substantive works that are documented achievements. Recognition of the scholarly work must also be external to the University, residing in the scientific and educational practice communities apropos to the faculty member's field of scholarship. The nature of scholarship should be pertinent to the faculty member's track and pattern of responsibilities.

Those in the clinical excellence pathway demonstrate scholarship of practice through innovations in patient care that advance disease prevention, detection, and treatment (see the criteria for the clinical excellence pathway sections).

Evidence of scholarship can include but is not limited to: peer reviewed journal articles, bulletins and technical reports, original books and monographs, edited books, chapters in edited books, editor reviewed journal articles, reviews and abstracts, papers in proceedings, unpublished scholarly presentations, externally funded research, funded training grants, other funding for academic work, prizes and awards for research or scholarly or creative work, major professional awards and commendations. Evidence of scholarship may also include invited lectures at other universities, symposia, and conferences; invention disclosures, patent activity, entrepreneurship, technology commercialization, software development; editorship of a major collection of research work; leadership of advanced seminars and symposia under organizational sponsorship; and invitations to serve on national review bodies. TIUs are encouraged to develop innovative ways of defining and measuring scholarship unique to their specific discipline.

Documentation of scholarship also includes grants and contracts submitted and received, and a demonstration of the impact of the scholarship, as documented with citation data, impact factors, book distribution data, adoption of texts or procedures by external TIUs or academic health centers, and so forth. Although receipt of an extramural grant is meritorious, promotion also requires evidence of the impact and outcomes of the scholarly program it supports.

iii. Service

Service is broadly defined to include administrative service to the University, exemplary patient care, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. In the College of Medicine, a candidate's service contributions must be

demonstrated to be of high quality and effectiveness. All tenure-track and clinical faculty members must contribute to service as evidenced by documentation of contributions over a sustained period of time. The TIU's Appointments, Promotion, and Tenure document must specifically establish how the evidence of a candidate's service will be documented and assessed in terms of quality and effectiveness.

High-quality patient care is an expectation of all faculty members with clinical responsibilities, and therefore, evidence of additional service is necessary for promotion. Evidence of administrative service to the University may include appointment or election to TIU, college, and/or University committees, holding administrative/leadership positions; development of innovative programs, and participating in mentoring activities. Program development, reflecting the integration of teaching, service, and research in a specific content area, may be given special recognition and significance if desired by the TIU. Evidence of professional service to the faculty member's discipline can include editorships of, or service as, a reviewer for journals or other learned publications; offices held and other service to professional societies. Evidence of the provision of professional expertise to public and private entities beyond the University includes service as a reviewer of grants or other scholarly proposals, external examiner or advisor, a panel and commission participant, and as professional consultant to industry, government, and education. Evaluation of service should include evidence of a spirit of collegiality and collaboration with all of those in the many roles that work to advance the College and its mission.

- **Appointments, Promotion, and Tenure (APT) Document**

Candidates must indicate the APT document under which they wish to be reviewed. A candidate may be reviewed using their TIU's current APT document, or they may elect to be reviewed under either:

- (a) the APT document that was in effect on their start date, or
- (b) the APT document that was in effect on the date of their last promotion or, for clinical and research faculty, the date of their last reappointment, whichever of these two latter documents is the more recent.

However, for tenure-track faculty the current APT document must be used if the letter of offer or last promotion, whichever is more recent, was more than 10 years before April 1 of the review year. If a candidate wishes to be reviewed under an APT other than the current approved version available [here](#), a copy of the APT document under which the candidate has elected to be reviewed must be submitted when the dossier is submitted to the TIU.

- **External Evaluations** (see also External Evaluation below)

Candidates are responsible for reviewing the list of potential external evaluators developed by the TIU chair and the Promotion and Tenure Committee. The candidate may add no more than two additional names (one for clinical excellence and clinician educator), but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The TIU chair decides whether removal is justified.

2. TIU Promotion and Tenure Committee Responsibilities

The recommended responsibilities of Promotion and Tenure Committees within TIUs of the College of Medicine are as follows:

- a) To review the TIU's Appointment, Promotion, and Tenure document annually and to recommend proposed revisions to the faculty.
- b) To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A simple majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
 - i. The committee bases its decision on assessment of the record as presented in the faculty member's CV or dossier as specified in TIU Appointment, Promotion, and Tenure documents and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.
 - ii. A tenured faculty member may only be denied a formal promotion review under Faculty Rule [3335-6-04](#) one time. Faculty Rules [3335-7-08](#) and [3335-7-36](#) make the same provision for non-probationary clinical and research faculty, respectively. If the denial is based on lack of required documentation and the faculty member insists that the review go forward in the following year despite incomplete documentation, the individual should be advised that such a review is unlikely to be successful. Faculty in the probationary period of a tenure track, clinical, or research appointment may be denied each year of the probationary period up to the year of the mandatory review.
 - iii. A decision by the committee to permit a review to take place in no way commits the eligible faculty, the TIU chair, or any other party to the review to making a positive recommendation during the review itself.
- c) Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.
 - i. **Late Spring:** Select from among its members one or more Procedures Oversight Designee(s) who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the University Office of Academic Affairs annual procedural guidelines.
 - ii. **Late Spring:** The candidate should be shown the list of potential evaluators by the Promotion and Tenure Committee chair to identify any collaborators, conflicts of interest or other issues that could interfere with the objectivity of the reviews, and be invited to augment it with no more than three names of persons who meet the criteria for objective, credible, evaluators. The department may not use more than two names provided by the faculty (one for clinical excellence and clinician educator).
 - iii. **Late Spring:** Suggest names of external evaluators to the TIU chair.
 - iv. **Summer:** Gather internal evidence of the quality of the candidate's teaching, scholarship, and service from students and peers, as appropriate, within the TIU.
 - v. **Late Summer:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with University Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.
 - vi. Meet or communicate with each candidate for clarification of the dossier as necessary and to provide the candidate an opportunity to comment on their dossier. These meetings or communications are not an occasion to debate the candidate's record.

- vii. Establish a mechanism for each candidate's dossier to be accessible for review by the eligible faculty (e.g. secure website) at least two weeks before the meeting at which specific cases are to be discussed and voted.
- viii. According to the TIU's Appointment, Promotion, and Tenure document, the committee may draft an analysis of the candidate's performance in teaching, scholarship, and service to provide to the full eligible faculty with the dossier; and seek to clarify any inconsistent evidence in the case, where possible. The committee neither votes on cases nor takes a position in presenting its analysis of the record.
- ix. In TIUs where the Appointment, Promotion, and Tenure committee has been approved as the eligible faculty, the chair of the committee will revise the draft analysis of each case following the faculty meeting, to include the faculty vote and a summary of the faculty perspectives expressed during the meeting; and forward the completed written evaluation and recommendation to the TIU chair.
- x. Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.
- xi. Provide a written evaluation and recommendation to the TIU chair in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases since the TIU's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on the cases of its TIU.

3. TIU Eligible Faculty Responsibilities

In the event that the TIU does not have at least three faculty members who are eligible to conduct the review, the TIU chair must contact the College Office of Faculty Affairs to identify appropriate faculty members from other TIUs that will supplement the eligible faculty within the TIU.

The responsibilities of the members of the eligible faculty are as follows:

- a) To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.
- b) To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.
- c) The evaluation by the eligible faculty is not advisory to the TIU chair but represents an independent voice of the faculty.
- d) The Committee of the Eligible Faculty chair will write a letter to the TIU chair reporting the vote and summarizing the discussion of the eligible faculty. This letter will be evaluative as well as descriptive and comment on discussions justifying the final recommendation and vote, considering areas of strength and areas in which there might have been greater achievement. In the event the candidate is on the tenure track, this letter must be written by a tenured faculty member at the appropriate rank per University Faculty Rules.

4. Department Chair or School Director Responsibilities

In the event that the department (TIU) chair or school director is on the clinical faculty, and therefore ineligible to conduct the promotion evaluation of a tenure-track candidate for promotion, the department or school must appoint or otherwise designate a tenured faculty member who can provide the chair-level review. For review of candidates being considered for promotion to professor, that designee must be a tenured professor. The responsibilities of the TIU chair or designee are as follows:

- a) To determine whether a candidate is authorized to work in the United States and whether a candidate now, or in the future, will require sponsorship for an employment visa or immigration status. (A TIU must ensure that such questions are asked of all candidates in a non-discriminatory manner.) For tenure-track assistant professors, TIU chairs are to confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an [MOU](#) at the time of promotion with tenure.
- b) **Late Spring:** To solicit external evaluations from a list including names suggested by the Appointments Promotion and Tenure Committee, the chair and the candidate. (Also see External Evaluations below.)
- c) To solicit an evaluation from the head of any TIU with which the candidate has a joint appointment.
- d) To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.
- e) To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.
- f) Following receipt of the letter of the eligible faculty's completed evaluation and vote, to provide an independent written evaluation and conclusion regarding whether a candidate's dossier meets the criteria for promotion and/or tenure. In the interest of an independent evaluation, the College of Medicine discourages the TIU chair from attending the committee of eligible of faculty deliberations.
- g) To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.
- h) To inform each candidate in writing after completion of the TIU review process:
 - i. of the recommendations by the eligible faculty and TIU chair
 - ii. of the availability for review of the written evaluations by the eligible faculty and TIU chair
 - iii. of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the TIU chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the unit head, indicating whether or not they will submit comments.
- i) To provide a written response to any candidate comments that warrants response for inclusion in the dossier.
- j) To forward the completed dossier to the college office by that office's deadline of November 1. With the exception of associated faculty, all dossiers including those with a negative TIU evaluation must be forwarded to the College. Only the faculty member may stop the review process.
- k) To receive the Promotion and Tenure Committee's written evaluation and recommendation of candidates who are joint appointees from other TIUs and to forward this material, along with the TIU chair's independent written evaluation and recommendation to the chair of the other TIU by the date requested.

5. College Promotion and Tenure Committee Responsibilities

- a) The College of Medicine Promotion and Tenure Committee consists of 30 professors on the clinical and tenure-track faculty. This number may be increased as needed based on the number of dossiers received. TIU Chairs and college administrative appointees with decanal titles are not eligible to serve as committee members. The Vice Dean for Faculty Affairs appoints the Procedures Oversight Designee(s) (POD). The chair of the committee will be elected by the committee per the committee Bylaws in the College of Medicine [Patterns of Administration](#).

- b) The committee will review the materials provided by the TIUs for promotion and/or tenure consideration. These will be prepared in a manner spelled out by the TIU's Appointments, Promotion, and Tenure: Criteria and Procedures document.
- c) For initial review, the full committee will be divided into subcommittees, each consisting of six committee members. The responsibilities of the subcommittee are to review all dossiers assigned and refer candidates to a consent agenda or to the full committee for further review. Referral to full committee review occurs upon request by one or more subcommittee members. It is expected that all subcommittee members examine all dossiers being discussed.
- d) For dossiers referred to the full committee, at least one primary reader and one secondary reader are assigned for each case. It is expected that all panel members have examined all dossiers being discussed. A draft of the report outlining the case may be prepared by the primary reader in advance and serves as the basis for the discussion of each case.
- e) Once materials are submitted to the college for review, with the exception of items covered in (f) and (g) below, no further consultation with TIU chairs or committees or the faculty candidate on substantive matters should take place. This assures that the levels of review are independent.
- f) Any committee member from a candidate's TIU will be ineligible to participate in any discussion of the case, including procedures, policies, or culture of the TIU. Only the dossier material should be discussed and evaluated.
- g) Should questions arise with respect to procedural errors (those that reasonably could have affected the outcome), they should be addressed before the review continues. The error should be corrected at the level of the review at which it occurred. The case should be fully reconsidered from that point on. If internal letters have been generated at that level of review and beyond, they should be saved but not included in the dossier. The new written evaluations should note that reconsideration took place because of a procedural error and state the nature of that error. The comments process must be repeated for the new internal letters.
- h) Should there be significant new information, the record may be amended; however, all parties to the review process must review an amended record. If the information becomes available after a case has left the TIU, the college committee may return the case to the TIU.
- i) A quorum of a simple majority of eligible committee members is required. Following discussion, the full committee will vote on the requested action. Only "yes" and "no" votes are counted. Abstentions are not considered as votes and all faculty members in attendance are required to vote. Abstentions to avoid voting negatively are discouraged. The primary reviewer will be responsible for preparing the written report of the committee's assessment and vote, which must address the contents of the discussion including attention to areas of disagreement, particularly in negative or split votes.
- j) After the college committee completes its work, the Vice Dean for Faculty Affairs shall inform the dean of the college committee's tenure and/or promotion recommendations for each candidate. The dean shall make a final independent recommendation in writing to the executive vice president and provost.
- k) Fourth/Eighth-year reviews will follow the above procedures with two exceptions. External letters of evaluation are not required and the final decision with respect to reappointment will rest with the dean. The ten-day comment period required for promotion review is not required for Fourth and Eighth-year reviews.

6. Dean's Responsibilities

- a) The dean will consider the recommendations of the committee. The dean's decision shall be final with respect to reappointment and non-reappointment. Decisions with respect to promotion for tenure-track, clinical, and research faculty shall be forwarded to the executive vice president and provost, who shall review the decision consistent with review procedures set forth in Faculty Rules [3335-6-03](#) and [3335-6-04](#). Any decision of the executive vice president and provost shall be final.
- b) Once the dean completes a letter to the executive vice president and provost, the dean or their designee will inform the candidate and the TIU chair of the completion of the college-level review and of the availability of the reports. The candidate and TIU chair will be provided with copies of those reports. University rules and OAA guidelines regarding the comments process will then be followed.
- c) When a promotion and tenure decision is negative, the dean must advise the candidate of their right to appeal and also of his/her/their final date of employment under the seven-year rule (if applicable).

7. Promotion Review: Procedures for Associated Faculty

Adjunct faculty, Practice faculty, and associated faculty with tenure-track titles for whom promotion is a possibility follow the promotion guidelines and procedures detailed in Section VII.A above, with the exception that the review does not proceed to the college level if the TIU chair's recommendation is negative (a negative recommendation by the TIU chair is final in such cases), and does not proceed to the executive vice president and provost if the dean's recommendation is negative.

8. External Evaluations

External evaluations are obtained for all promotion and/or tenure reviews in which scholarship must be assessed. These include all tenure-track promotion and tenure or promotion reviews and all clinical and research faculty promotion reviews. As described above, a list of potential evaluators is assembled by the Promotion and Tenure Committee, the department (TIU) chair or school director, and the candidate. Candidates are permitted to suggest external evaluator names following the criteria below. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. However, per Faculty Rule [3335-06-04 \(B\) 3](#), "no more than one-half of the letters contained in the final dossier should be from persons suggested by the candidate." In the event that the person(s) suggested by the candidate do not agree to write, neither the university Office of Academic Affairs nor TIUs in this college require that the dossier contain letters from evaluators suggested by the candidate.

TIUs within this college will seek external evaluations predominately from evaluators in peer and aspirational peer programs that are clearly identified in the Appointments, Promotion, and Tenure document of each unit. Justification will be provided whenever a suggested evaluator is from a program not so specified.

A conflict of interest for external reviewers exists if the reviewer is or has been to the candidate: a) a thesis, dissertation, or postdoctoral advisee/advisor; b) a research collaborator, which includes

someone who has been a coauthor on a publication within the past 3 years, including pending publications and submissions; c) a collaborator on a project within the past 3 years, including current and planned collaborations; d) in a consulting/financial arrangement with the candidate within the past 3 years, including receiving compensation of any type (e.g., money, goods, or services); e) a relative or close personal friend; or f) in any relationship, personal or professional, that could reduce the reviewer's objectivity. Also excluded are reviewers from the same institution, or those who had previous employment in the same institution within the past 12 months, or those who are being considered for employment at that institution.

A minimum of five credible and useful evaluations must be obtained (three for clinical excellence and clinician educator pathways). A credible and useful evaluation:

- a) Is written by a person who has no conflict of interest as described above and is highly qualified to judge the candidate's scholarship (or other performance, if relevant). Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. External evaluators must be able to provide an objective evaluation of the scholarly work. They must be at the rank above the candidate being considered unless an exception has been granted by the college. It is therefore essential that the individual or body generating the list of prospective evaluators ascertain the relationship of prospective evaluators with the candidate before seeking a letter of evaluation. Candidates must be provided the opportunity to propose potential external reviewers and to review the proposed list of reviewers to identify potential conflicts.
- b) Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory.
- c) In the event that a unit is unable to obtain the required number of external evaluations, the unit must document its efforts, noting the individuals who were contacted, how they were contacted, and the dates and number of times they were contacted. The unit is to notify the college as soon as it becomes apparent that it will not be able to obtain the required letters in time for the meeting of the eligible faculty. The lack of five external letters (three for clinical excellence and clinician educator pathways) will not stop a mandatory review from proceeding but will halt a non-mandatory review from proceeding unless the candidate, P&T chair, and the TIU chair all agree in writing that it may proceed and agree that it will not constitute a procedural error. Faculty on the clinical excellence pathway moving to Associate Professor may have three internal letters of evaluation; faculty moving to Professor should have at least one external letter of evaluation out the three total letters.

Since the TIU cannot control who agrees to write and or the usefulness of the letters received, at least twice as many letters should be sought as are required, and they should be solicited no later than the end of the spring semester prior to the review year. This timing allows additional letters to be requested should fewer than the required number of useful letters result from the first round of requests.

Templates for the solicitation of external letters of evaluation for faculty in the College of Medicine may be found [here](#).

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

interest to assure there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

All solicited external evaluation letters that are received must be included in the dossier. If concerns arise about any of the letters received, these concerns may be addressed in the TIU's written evaluations or brought to the attention of the College Office of Faculty Affairs for advice.

VIII. PROMOTION AND TENURE AND REAPPOINTMENT APPEALS

Only the candidate may appeal a negative tenure, promotion, or reappointment decision.

Performance that is adequate for annual reappointment may not be adequate for the granting of promotion or tenure with promotion for faculty on the tenure track or, in the case of clinical or research faculty, for securing a reappointment.

Faculty Rule [3335-6-05](#) sets forth general criteria for appeals of negative promotion and tenure decisions. Appeals alleging improper evaluation are described in Faculty Rule [3335-5-05](#).

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

IX. REVIEWS IN THE FINAL YEAR OF PROBATION

In most instances, a decision to deny promotion and tenure in the penultimate probationary year (11th year for faculty members with significant clinical responsibilities, 6th year for those without significant clinical responsibilities) is considered final. However, in rare instances in which there is substantial new information regarding the candidate's performance that is relevant to the reasons for the original negative decision, a seventh (or twelfth) year review may be conducted. The request for this review must come from the eligible faculty and the head of the TIU and may not come from the faculty member themselves. Details of the criteria and procedures for a review in the final year of probation are described in University Rule [3335-6-05](#) (B).

If a terminal year review is conducted by a TIU and the College, it will be made consistent with that TIU's Appointments, Promotion and Tenure document, the College's Appointments, Promotion and Tenure document, and other relevant policies, procedures, practices, and standards established by: (1) the College, (2) the *Rules of the University Faculty*, (3) the University Office of Academic Affairs, including the Office of Academic Affairs Policies and Procedures Handbook, and (4) the Office of Human Resources.

X. PROCEDURES FOR STUDENT AND PEER EVALUATION OF TEACHING

A. Student Evaluation of Teaching

College of Medicine views teaching broadly. It includes teaching in the classroom, at the bedside, or in the laboratory. If appropriate, faculty in the COM can make use of the Student Evaluation of Instruction (eSEI) or can use any other appropriate method of student evaluation of their teaching. Faculty are also reviewed regularly by residents using appropriate online evaluation systems. The faculty member should reiterate to students that the feedback provided in the evaluations is used

both for performance reviews and to provide feedback that can be taken into account in future teaching.

B. Peer Evaluation of Teaching

Each TIU must have a well-delineated mechanism for annual peer evaluation of instruction that appropriately complements information received from students, residents, and fellows. This plan must indicate what form peer review will take, the purposes to be accomplished, who will conduct the review, and when and how often the review will take place. Responsibility for arranging for and carrying out peer review activities must rest with someone other than the faculty member whose teaching or teaching materials are to be reviewed. The TIU chair or appropriate TIU education leadership oversees the TIU's peer evaluation of teaching process. The TIU must develop a process that assures that each faculty member annually receives a peer review of teaching.

Peer evaluation of teaching may occur in many different venues, as applicable to a faculty member's primary teaching responsibility. The college broadly considers teaching medical students, graduate students, residents, and fellows. Faculty members may be evaluated bedside; giving lectures as part of the residency and fellowship programs; at CME courses, whether at Ohio State or elsewhere; lecturing in formal didactic courses, etc. Because teaching in the College of Medicine can occur at the bedside, in the OR, at a microscope, or at a lectern, there is not one specific form that needs to be used for Peer Evaluation. It can be a standard form a department uses or it can be in a narrative format that describes what teaching activity was being evaluated, the date, and describes the teaching style and activities (e.g. it could be an email from a peer after a ground rounds or lecture).

The peer reviewer should focus on such issues as the quality and effectiveness of the instructional materials and assessment tools and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the evaluation, the reviewer meets with the candidate to give feedback and also submits a written report to the TIU chair, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if they wish. The reports are included in the candidate's promotion and tenure dossier.

XI. APPENDICES

Appendix A. Key Definitions & Glossary of Terms

Adjunct Faculty – 0% FTE, non-salaried, non-clinical associated faculty that participate in the education and training of medical students e.g. community faculty (see also **Associated Faculty**). An adjunct appointment is not the same as a **Courtesy Appointment**.

APT – Appointments, Promotion and Tenure

Appointments, Promotion and Tenure Committee – the body of faculty that make recommendations to the TIU chair or dean regarding the viability of candidates for appointment, promotion and/or tenure.

Appointments, Promotion and Tenure Document – a document required of every TIU and college that describes the guidelines that must be used for making appointments, and for faculty to achieve promotion and tenure.

Associated – a broad category of faculty that encompasses adjunct, practice, visiting, returning retirees, and lecturers that which are typically intended to be short term appointments (See also Adjunct Faculty, Practice Faculty).

Collaborative research / Team science - distinctive contributions made to a team of investigators that result in publications and grants. These contributions are recognizable by extramural consultants and other evaluators. Individual investigators must be able to identify the unique, original, and expert skills and ideas they have contributed to a particular project.

Community engagement - institutional, local, national, and international community contributions that are closely aligned with and complementary to the candidate's scholarly academic achievements. These activities reflect innovations made in science, medicine and/or healthcare that led to demonstrable advances in knowledge, health (individual or population), healthcare or healthcare delivery.

Courtesy Appointment – a no salary appointment for a clinical, research, or tenure-track faculty member from another academic TIU within the University. The title associated with the no salary appointment is always the same as the faculty's title in their home TIU.

Dossier – a document compiled by a promotion and/or tenure candidate to demonstrate achievement.

Eligible Faculty – the faculty who are authorized vote on appointment, promotion, and tenure matters. These faculty must be above the candidate's rank. Clinical and research faculty may not vote on tenure-track faculty.

Extension of the Tenure Clock (formally known as Exclusion of Time) – the ability to have up to three years added to the time clock toward achieving tenure.

Faculty – the College of Medicine has four faculty types: Tenure-track, clinical faculty, research faculty, and associated faculty.

FTE – Full-time equivalent, the percentage of time worked expressed as a decimal. Full-time is 1.0, half-time is .5, and quarter-time is .25.

Impact – the direct effect of an individual's work on science, medicine, health care, patient care and/or community. It can be assessed by a variety of metrics.

Inclusion - Inclusion is an approach designed to ensure that the thoughts, opinions, perspectives and experiences of all individuals are valued, heard, encouraged, respected and considered.

Institutional Citizenship – participation in service missions relevant to a faculty member's academic activities and to the missions of the College of Medicine and the University. It includes, but is not limited to, efforts in mentoring and professionalism.

Joint Appointment – when a faculty member's FTE (and salary support) is split between one or more academic TIUs it is considered to be a joint appointment (this is different than a **Courtesy Appointment**).

Mandatory review – a required 4th year, 8th year, tenure review, or reappointment review.

MOU – Memorandum of Understanding – a document between two academic TIUs expressing how a faculty member's appointment, time, salary and other resources will be allocated and/or divided. (Used during a transfer of TIU and for joint appointments.)

National Recognition – could be based on geographic considerations (i.e. outside of Ohio) or on the basis of national ranking for the discipline.

Non-mandatory review – voluntary promotion or tenure review.

OAA – Office of Academic Affairs (University).

Peer Review – evaluation of teaching by colleagues. Documentation of peer review is required for the promotion and tenure dossier.

Penultimate year – the next to last year of a contract, used to determine required clinical and research faculty review dates. See also reappointment review below.

Practice Faculty – an associated faculty appointment for those who will have a paid associated faculty appointment or have a paid appointment (e.g. staff, physician) through OSU, OSUP, or NCH (see also **Associated Faculty**).

Prior Service Credit – Application of years of service at the University in one track or rank applied to another track or rank when a faculty member transfers tracks or is promoted. Prior service credit is not allowed for track transfers; it is automatic for promotions unless turned down. For probationary tenure-track appointments, prior service credit shortens the length of time that a faculty member has to achieve tenure by the amount of the credit.

Probationary period – the length of time in which a faculty member on the tenure-track has to achieve tenure (e.g. 6 years for assistant professor faculty without clinical service, 11 years for assistant professor faculty with significant clinical service responsibilities). It is also defined as the first appointment term for faculty on the Clinical faculty or Research faculty. Once they have been reappointed, they are no longer probationary. During the probationary period, faculty are reviewed annually and informed whether their appointment will be continued.

Professionalism - exemplary behavior including: demonstration of honesty and integrity in all realms of work; respect for patients, faculty, staff and learners at all levels; evidence of commitment to continued learning and personal betterment; the encouragement of questions, debate and acceptance of diverse viewpoints without demonstration of prejudice or bias. Maintenance of these behaviors is consistent with the values of The Ohio State University and the College of Medicine.

Reappointment Review – the review of a clinical, research, or associated faculty member in the penultimate year of their contract to determine if the contract will be renewed. See also penultimate year above.

Clinical Faculty – the faculty who primarily engage in clinical, teaching and practice.

Research Faculty –for basic scientist faculty who engage exclusively in research-based scholarship.

Tenure-Track – the faculty track for basic scientists and physicians with a major focus of research-based scholarship.

Trajectory – continued momentum and growth in pursuit of an individual's career path. It is expected that one's career trajectory continues to ascend over time. Promotion anticipates sustained upward trajectory and continuing impact. Trajectory is interpreted within the context of mitigating life circumstances.

SEI – Student Evaluation of Instruction.

Tenure – permanent employment status only granted to faculty on the tenure-track when the probationary period is successfully completed.

TIU – Tenure Initiating Unit, synonymous with TIU. Centers and Institutes are not Tenure Initiating Units (please see Appendix B for the complete list of TIUs).

University Rules – or *Rules of the University Faculty* – The section of the Ohio Revised Code that prescribes the rules and governance of The Ohio State University and its employees.

Appendix B. Tenure Initiating Units in the College of Medicine

Appointments and promotion and tenure actions may only be originated by a faculty member's Tenure Initiating Unit (TIU). These are the academic TIUs in the College of Medicine. The School of Health and Rehabilitation Sciences is also a Tenure Initiating Unit. Divisions are not TIUs. Neither are Centers or Institutes, e.g. the Davis Heart & Lung Research Institute, the Comprehensive Cancer Center, or the Center for Microbial Interface Biology or the Pelotonia Institute for Immuno-Oncology.

Below is the list of all the Tenure Initiating Units in the College of Medicine. Non-clinical TIUs are indicated by an asterisk:

Anesthesiology
Biological Chemistry & Pharmacology*
Biomedical Education & Anatomy*
Biomedical Informatics*
Cancer Biology & Genetics*
Dermatology
Emergency Medicine
Family and Community Medicine
Health and Rehabilitation Sciences, School of*
Internal Medicine
Microbial Infection and Immunity*
Molecular Medicine and Therapeutics*
Neurological Surgery
Neurology
Neuroscience*
Obstetrics & Gynecology
Ophthalmology & Visual Sciences
Orthopaedics
Otolaryngology, Head & Neck Surgery
Pathology
Pediatrics
Physical Medicine and Rehabilitation
Physiology & Cell Biology*
Plastic & Reconstructive Surgery
Psychiatry & Behavioral Health
Radiation Oncology
Radiology
Surgery
Urology

Appendix C. AAUP Statement on Professional Ethics

1. Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.
2. As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student's true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.
3. As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.
4. As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.
5. As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.

The statement above was originally adopted in 1966. Revisions were made and approved by the Association's Council in 1987 and 2009.

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