Appointments, Promotion, and Tenure
Criteria and Procedures for The Ohio State University Department of Dermatology (DOD)

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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 Chapter 3 of the Office of Academic Affairs *Policies and Procedures Handbook*; and other policies and procedures of the college and university to which the Department of Dermatology (DOD) and its faculty are subject.

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

This document must be approved by the dean of the college and the Office of Academic Affairs before it may be implemented. It sets forth the DOD's mission and, in the context of that mission and the missions of the college and university, its criteria and procedures for faculty appointments and for faculty promotion, tenure and rewards, including salary increases. In approving this document, the dean and the Office of Academic Affairs accept the mission and criteria of the DOD and delegate to it the responsibility to apply high standards in evaluating current faculty and faculty candidates in relation to DOD 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 DOD and college; and to make negative recommendations when these are warranted in order to maintain and improve the quality of the faculty.

Decisions considering appointment, reappointment, and promotion and tenure will be free of discrimination in accordance with the university's policy on equal employment opportunity.

II DEPARTMENT OF DERMATOLOGY Mission

The Department of Dermatology is dedicated to improving patient lives in Ohio and across the nation with innovative clinical care, transformative research, and the education of future leaders committed to service. Our focus is high-quality, personalized care for all individuals, while fostering a supportive environment for our patients, learners, staff, and faculty.

III Definitions

A Committee of the Eligible Faculty

The eligible faculty for all appointment (hiring), reappointment, contract renewal, promotion, or promotion and tenure reviews must have their tenure home or primary appointment in the DOD.

The DOD Chair, the dean and assistant and associate 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, promotion and tenure, or contract renewal.

1 Tenure-track Faculty

Initial Appointment Reviews

- For appointment (hiring or appointment change from another faculty type) at senior rank

(associate professor or professor), the eligible faculty consists of all tenure-track faculty in the department.
- 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.

Reappointment, Promotion, or Promotion and Tenure Reviews

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

2 Clinical Faculty

Initial Appointment Reviews

- For appointment (hiring) at senior rank (associate clinical professor or clinical professor), the eligible faculty consists of all tenure-track and all clinical faculty in the department.
- 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, Contract Renewal, and Promotion Reviews

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

3 Research Faculty

Initial Appointment Reviews

- For appointment (hiring or appointment change from another faculty type) at senior rank (research associate professor or research professor), the eligible faculty consists of all tenure-track and all research faculty in the department.
- 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, Contract Renewal, and Promotion Reviews

- For the reappointment, contract renewal, 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, contract renewal, and promotion reviews of research associate professors and the reappointment and contract renewal 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 Reviews

- Appointment and reappointment of associated faculty may be proposed by any faculty member in the Department and are decided by the DOD Chair. For initial appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), a review is performed and a vote 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. Prior approval of the college dean is required for such appointments.

Contract Renewal and Promotion Reviews

- Contract renewals are decided by the DOD Chair in consultation with the Executive Committee.
- 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 titles, and lecturer titles.
- For the promotion reviews of associated faculty with adjunct and tenure-track titles, the eligible faculty shall be the same as for tenure-track faculty as described in Section III.A.1 above.
- For the promotion reviews of associated clinical practice faculty, the eligible faculty shall be the same as for clinical faculty as described in Section IIII.A.2 above.
- The promotion of a lecturer to senior lecturer is decided by the DOD Chair in consultation with the Appointments, Promotion and Tenure Committee.

5 Conflict of Interest

A conflict of interest exists when an eligible faculty member is related to a candidate or has a comparable close interpersonal relationship, has substantive financial ties with the candidate, is dependent in some way on the candidate's services, has a close professional relationship with the candidate (dissertation advisor), or has collaborated so extensively with the candidate that an objective review of the candidate's work is not possible. Generally, faculty members who have collaborated with a candidate on at least 50% of the candidate's published work will be expected to withdraw from an appointment or promotion review of that candidate.

6 Minimum Composition

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

B Appointments, Promotion and Tenure Committee

The DOD has an Appointments, Promotion and Tenure Committee that assists the eligible faculty in managing the personnel and promotion and tenure issues. The committee consists of 1 tenured professor, 1 non-probationary clinical professor, 2 tenured associate professors, and 3 non-probationary associate clinical professors. The committee’s chair and membership are appointed by the DOD Chair. The term of service is three years, with reappointment possible.

When considering cases involving research faculty the Appointments, Promotion and Tenure Committee may be augmented by 2 non-probationary research faculty members.

C Quorum

The quorum required to discuss and vote on all personnel decisions is two-thirds of the eligible faculty not on an approved leave of absence. Faculty on approved leave are not considered for quorum unless they declare, in advance and in writing, their intent to participate in all proceedings for which they are eligible during the leave.

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

D Recommendation from the Eligible Faculty

In all votes taken on personnel matters only “yes” and “no” votes are counted. Abstentions are not votes and not permitted in this department. 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 this department, only senior rank appointments (associate professor or professor, irrespective of appointment type) require a vote by the eligible faculty. In those cases, a positive recommendation from the eligible faculty for appointment is secured when two-thirds of the votes cast are positive.

- In the case of a joint appointment, the DOD must seek input from a candidate’s joint-appointment department prior to their appointment.

2 Reappointment, Promotion and Tenure, Promotion, and Contract Renewal

A positive recommendation from the eligible faculty for reappointment, promotion and tenure, promotion, and contract renewal is secured when two-thirds of the votes cast are positive.

- In the case of a joint appointment, the DOD must seek input from a candidate’s joint-appointment department prior to his or her reappointment, promotion and/or tenure, or contract renewal.

IV Appointments

A Criteria

The DOD is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the DOD. Important considerations include the individual's record to date in teaching, scholarship and service; the potential for professional growth in each of these areas; and the

potential for interacting with colleagues and students in a way that will enhance their academic work and attract other outstanding faculty and students to the DOD. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the DOD. The search is either cancelled or continued, as appropriate to the circumstances.

- 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 such as that provided by the National Institutes of Health (NIH). Although excellence in teaching and outstanding service to the Department and College is required, these alone are not sufficient for progress on this track.

- Appointments to this track are made in accordance with University Faculty Rule 3335-6-02. Each new appointment must enhance, or have strong potential to enhance, the quality of the Department. 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 advancement to tenure. The appointment process requires 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.

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

- Each appointee with clinical responsibilities must obtain the appropriate Ohio licensure and other required certifications.

1 Tenure-track Faculty

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 do not yet have the requisite skills or experience to fully assume the range of responsibilities of an Assistant Professor. Appointments to this rank may also be made if all of 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 that of assistant professor. The DOD will make every effort to avoid such appointments. An appointment at the Instructor level is limited to three years. Promotion to assistant professor occurs without review the semester following completion of the required credentialing. When an Instructor has not completed requirements for promotion to the rank of Assistant Professor by the beginning of the third year of appointment, the third year is a terminal year of employment.

Upon promotion to Assistant Professor, the faculty member may request prior service credit for time spent as an Instructor. This request must be approved by the Department's APT Committee, the DOD Chair, the Dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked once granted 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 that 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.

- 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 A].

- 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 Department.

Appointment: Assistant Professor on the Tenure Track. An earned terminal degree is the minimum requirement for appointment at the rank of assistant professor. Evidence of potential for scholarly productivity, high-quality teaching, and high-quality service to the DOD and the profession is highly desirable.

Review for tenure prior to the mandatory review year is possible when the Appointments, Promotion and Tenure Committee (or Committee of Eligible Faculty) determines such a review to be appropriate. The granting of prior service credit, which requires approval of the Office of Academic Affairs, may reduce the length of the probationary period, but is strongly discouraged as it cannot be revoked once granted except through an approved request to exclude time from the probationary period.

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 in the mandatory review year (see below); however, promotion and tenure may be granted 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 Faculty Rule 3335-6-08 and the relevant paragraphs of University Faculty Rule 3335-6-03.

For faculty members without clinical responsibilities who are not recommended for promotion and tenure following the mandatory 6th year review, the 7th year will be the final year of employment. Consistent with University Faculty Rule 3335-6-09, faculty members with significant patient 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 Department's APT Committee, DOD Chair, Dean, and Executive Vice President and Provost. Prior service credit shortens a probationary period by the amount of the credit but once granted cannot be revoked 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 and a strong likelihood of independent extramural research funding.
- 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 A].

- 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.

  Associate Professor and Professor. Appointment offers at the rank of Associate Professor or Professor and offers of prior service credit require prior approval of the Office of Academic Affairs.

  Appointment at the rank of associate professor normally entails tenure. A probationary appointment at the rank of associate professor is appropriate only under unusual circumstances, such as when the candidate has limited prior teaching experience or has taught only in a foreign country. A probationary period of up to four years is possible, on approval of the Office of Academic Affairs, with review for tenure occurring in the final year of the probationary appointment. If tenure is not granted, an additional (terminal) year of employment is offered.

  While appointments to the rank of associate professor typically include tenure, a probationary period can be granted after petition to the Office of Academic Affairs. The Department will exercise care in making these appointments, and provide the metrics that must be achieved 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 responsibility, 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 VI 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

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. Second and subsequent contracts for assistant and associate clinical professors must be for a period of at least three years and for no more than five years. Second and subsequent contracts for clinical professors must be for a period of at least three years and no more than five years. Tenure is not granted to clinical faculty. There is also no presumption that subsequent contracts will be offered, regardless of performance.

The DOD supports the Clinician-Educator pathway, the Clinician-Scholar pathway, and the Clinical-Excellence pathway. These appointments exist for faculty members who focus principally on the education needs for biomedical investigators and students at the health system, college, or department level.

Excellence on the Clinician Educator Pathway is measured by teaching evaluations, innovative teaching practices, curricula development, and publications. Faculty on this pathway may also distinguish themselves by a record of educating trainees at various levels, along with colleagues and peers through invitations to serve as faculty on national continuing medical education programs, invited speakerships or societal leadership.

Excellence on the Clinician Scholar Pathway may occur in basic science, translational science, clinical research, health services research, public health care policy, and outcomes and comparative effectiveness research. Success is measured by publications and extramural grant funding.

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 or serve as preferred providers developing a regional or national reputation for clinical service expertise. Faculty members on this pathway typically devote 90% or more of their effort to patient care or administrative service.

Clinical Faculty members are expected to contribute to the DOD's research and education missions, as reflected by participation in graduate program development and teaching. While Clinical Faculty may serve as the PI on a grant proposal, securing extramural funding as PI is not expected. However, participation as Co-I or collaborator in extramural funding proposals may be expected of some Clinical Faculty per their letter of offer. Clinical appointments are made in accordance with Faculty Rule 3335-7. Each new appointment must enhance, or have strong potential to enhance, the quality of the DOD.

Clinical Instructor. Appointment is normally made at the rank of clinical instructor when the appointee has not completed the requirements for the terminal degree. The DOD will make every effort to avoid such appointments. An appointment at the instructor level is limited to a three-year contract. In such cases, if the instructor has not completed requirements for promotion to the rank of assistant clinical professor by the end of the penultimate year of the contract period, a new contract will not be considered even if performance is otherwise adequate and the position itself will continue.

Assistant Clinical Professor. An earned doctorate and the required licensure/certification in their specialty are the minimum requirements for appointment at the rank of assistant clinical professor. Evidence of ability to teach is highly desirable.

Associate Clinical Professor and Clinical Professor. Appointment at the rank of associate clinical professor or clinical professor requires that the individual have an earned doctorate and the required licensure/certification in their specialty, and meet, at a minimum, the DOD's criteria—in teaching, professional practice and other service, and scholarship—for promotion to these ranks.

3 Research Faculty

Research Faculty are those who focus principally on investigative scholarship as opposed to formal teaching or service. Notably, the standards for scholarly achievement are similar to those for individuals on the Tenure-Track for each faculty rank. A Research Faculty member may, but is not required to, participate in educational and service activities. Research faculty may not participate in classroom teaching. Research Faculty members are expected to contribute to the Department's research mission and are expected to demonstrate excellence in scholarship as reflected by high quality peer- reviewed publications and successful competition for NIH or similar funding. In general, Research Faculty are those whose careers will ultimately lead to an appointment to the Tenure-track Faculty. Appointment to the Research Faculty allows initiation of a research career and scholarly accomplishments without expenditure of time in the Tenure probationary period.

Appointments to the Research Faculty are made in accordance with Chapter 7 of the University Faculty Rules (3335-7). Each new appointment must enhance, or have strong potential to enhance, the quality of the Department. Unless otherwise authorized by a majority vote of the Tenure-Track faculty in the Department, Research Faculty must constitute no more than twenty per cent of the number of Tenure-Track faculty in the Department. 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 Department. The Department adheres to all the University rules governing these appointments.

Contracts will be for a period of at least one year but no more than five years, and must explicitly state the expectations for salary support. The initial appointment is probationary, with reappointment considered annually. Tenure is not granted to research faculty.

In general, Research Faculty appointments will require 90-95% salary recovery. It is expected that salary recovery will be entirely derived from extramural funds. General funds dollars may not be used to support Research Faculty. 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.

Research Faculty members are eligible to serve on University committees and task forces but not on University governance committees. Research Faculty members are also 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 in the Graduate School Handbook.

a. Appointment: Assistant Professor on the Research Faculty.

A candidate for appointment as a Research Assistant Professor must provide clear and convincing evidence they have a demonstrated record of impact and recognition at local or regional level and 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 post-doctoral research training to provide the basis for establishment of an independent research program.
- An initial record of excellence in scholarship as demonstrated by having begun to develop a body of research, scholarship, and creative work, and initial evidence of program of research as reflected by first or senior author publications or multiple co-authorships and existing or strong likelihood of extramural research funding as one of several program directors or principal investigators on network-type or center grants (multiple-PD/PI) or as a co-investigator on multiple grants.
- 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 A].
- Strong potential for career progression and advancement through the faculty ranks.

b. Appointment: Associate Professor and Professor on the Research Faculty.

The criteria for initial appointment to the rank of Associate Professor and Professor in the Research Faculty are identical to those criteria for promotion to this rank as outlined in Section VI of this document.

4 Associated Faculty

Associated faculty appointments exist for faculty members who focus on a specific and well-defined aspect of the Department mission, most commonly outstanding teaching and exemplary clinical care. Associated faculty may be involved in scholarly pursuits and service to the University, but this is not required for advancement.

Associated Faculty, as defined in University Faculty Rule 3335-5-19, include "persons with clinical practice titles, adjunct titles, visiting titles, and lecturer titles; also professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than fifty per cent service to the university." 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 with working titles as outlined below.

Associated faculty appointments may be as short as a few weeks to assist with a focused project, a semester to teach one or more courses, or for up to three years when a longer contract is useful for long-term planning and retention. Associated faculty may be reappointed.

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

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

Clinical Instructor of Practice, Clinical Assistant Professor of Practice, Clinical Associate Professor of Practice, Clinical Professor of Practice. Associated clinical appointments may either be **compensated or uncompensated**. Uncompensated appointments are given to individuals who volunteer uncompensated academic service such as lecturing, staffing, resident clinics, supporting academic and education programs to the DOD, for which a faculty title is appropriate. Associated clinical rank is determined by applying the criteria for appointment of clinical faculty. Associated clinical faculty members are eligible for promotion (but not tenure) and the relevant criteria are those for promotion of clinical faculty.

Lecturer. Appointment as lecturer requires that the individual have, at a minimum, a Master's degree in a field appropriate to the subject matter to be taught. Evidence of ability to provide high-quality instruction is desirable. Lecturers are not eligible for tenure, but may be promoted to senior lecturer if they meet the criteria for appointment at that rank. The initial appointment for a lecturer should generally not exceed one year.

Senior Lecturer. Appointment as senior lecturer requires that the individual have, at a minimum, a doctorate in a field appropriate to the subject matter to be taught, along with evidence of ability to provide high-quality instruction; or a Master's degree and at least five years of teaching experience with documentation of high quality. Senior lecturers are not eligible for tenure or promotion. The initial appointment for a senior lecturer should generally not exceed one year.

Visiting Instructor, Visiting Assistant Professor, Visiting Associate Professor, Visiting Professor. Visiting faculty appointments may either be compensated or uncompensated. Visiting faculty members on leave from an academic appointment at another institution are appointed at the rank held in that position. The rank at which other (non-faculty) individuals are appointed is determined by applying the criteria for appointment of tenure-track faculty. Visiting faculty 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. Visiting faculty appointments may be renewed annually for only three consecutive years.

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 Chair of the DOD outlining academic performance and citizenship. The Committee of Eligible faculty (tenured and non-probationary clinical associate professors and professors) will review the application and make a recommendation to the DOD Chair. The DOD Chair will decide upon the request, and if appropriate submit it to the dean. If the faculty member requesting emeritus status has in the 10 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 3335-5-04, 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 for Faculty

Occasionally the active academic involvement in this DOD by a tenure-track, clinical, or research faculty member from another unit at Ohio State warrants the offer of a 0% FTE (courtesy) appointment in this DOD. Appropriate active involvement includes research collaboration, graduate student advising, teaching some or all of a course from time to time, or a combination of these. A courtesy appointment is made at the individual's current Ohio State rank, with promotion in rank recognized.

B Procedures

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.

The SHIFT (Strategic Hiring Initiative for Faculty Talent) Framework was designed to identify and recruit broad, qualified applicant pools of extraordinary scholars who are leaders in their respective fields. Deans, department chairs, and search committee members work in partnership with the Office of Faculty Affairs and other key stakeholders in adherence to this framework to ensure a thorough, fair, and consistent faculty search process. The framework consists of four distinct phases—each of which includes a series of core requirements (must-do action steps) and optimal practices (aspirational action steps)—followed by a fifth phase focused on preboarding and onboarding.

This department adheres in every respect to the Framework requirements as detailed at SHIFT.

All faculty positions must be posted in Workday, the university's system of record for faculty and staff. A formal review and selection process, including interviews using pre-designed evaluation rubrics, is 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.

In addition, see the Policy on Faculty Recruitment and Selection and the Policy on Faculty Appointments for information on the following topics:

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

1 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 Chapter 5, section 4.1 of the *Policies and Procedures Handbook*. Exceptions to this policy must be approved by the Office of Academic Affairs in advance. Search procedures must entail substantial faculty involvement and be consistent with the OAA Policy on Faculty Recruitment and Selection.

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

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

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.

If an offer involves senior rank, the eligible faculty members vote on the appropriateness of the proposed rank. If an offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the DOD Chair. Appointment offers at the rank of associate professor, with or without tenure, or professor with tenure, and/or offers of prior service credit require prior approval of the Office of Academic Affairs.

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

This department will 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.

Virtual or on-campus interviews with candidates must include opportunities for interaction with faculty groups, including the search committee; graduate students; the DOD Chair; and the dean

or designee. In addition, all candidates make a presentation to the faculty and graduate students on their scholarship. All candidates interviewing for a particular position must follow the same interview format and relevant accommodations for disability/impairment should be provided.

Following completion of virtual or on-campus interviews, the search committee presents its findings and makes its recommendations to the DOD Chair or the individual who has commissioned the search, who then proceeds with the offer of an appointment.

2 Clinical Faculty

Searches for clinical faculty generally proceed identically as for tenure-track faculty, with the exception that the candidate's presentation during the on-campus interview is on clinical/professional practice rather than scholarship.

3 Research Faculty

Searches for research faculty generally proceed identically as for tenure-track faculty.

4 Transfer from the Tenure Track

Tenure-track faculty may transfer to a clinical or research appointment if appropriate circumstances exist. Tenure or tenure eligibility is lost upon transfer, and transfers must be approved by the DOD Chair, the college dean, and the executive vice president and provost.

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

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

5 Associated Faculty

Appointment and reappointment of associated faculty may be proposed by any faculty member in the Department and are decided by the DOD Chair. For initial appointment (hiring or appointment change from another faculty type) at senior rank (associate professor or professor), a review is performed and a vote 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. Prior approval of the college dean is required for such appointments.

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

Appointment and reappointment of uncompensated adjunct or visiting faculty may be proposed by any faculty member in the DOD and are decided by the DOD Chair.

Visiting appointments may be made for one term of up to three years or on an annual basis for up to three years.

Lecturer and senior lecturer appointments are made on an annual basis and rarely semester by semester. After the initial appointment, and if the DOD’s curricular needs warrant it, a multiple

year appointment may be offered.

All associated appointments expire at the end of the appointment term and must be formally renewed to be continued.

6 Courtesy Appointments for Faculty

Any DOD faculty member may propose a 0% FTE (courtesy) appointment for a tenure-track, clinical, or research faculty member from another Ohio State tenure-initiating unit. A proposal that describes the uncompensated academic service to this DOD justifying the appointment is considered at a regular faculty meeting. If the proposal is approved by the eligible faculty, the DOD Chair extends an offer of appointment. The DOD Chair reviews all courtesy appointments every three years to determine whether they continue to be justified, and takes recommendations for nonrenewal before the faculty for a vote at a regular meeting.

V Annual Performance and Merit Review

The DOD follows the requirements for the annual performance and merit review as set forth in the Policy on Faculty Annual Review and Reappointment, which stipulates that such reviews must include a scheduled opportunity for a face-to-face meeting as well as a written assessment. According to the policy, the purposes of the review are to:

- Assist faculty in improving professional productivity through candid and constructive feedback and through the establishment of professional development plans;
- Establish the goals against which a faculty member's performance will be assessed in the foreseeable future; and
- Document faculty performance in the achievement of stated goals in order to determine salary increases and other resource allocations, progress toward promotion, and, in the event of poor performance, the need for remedial steps.

Depending on their appointment type, the annual performance and merit review of every faculty member is based on expected performance in teaching, scholarship, and/or service as set forth in the DOD's guidelines on faculty duties and responsibilities; on any additional assignments and goals specific to the individual; and on progress toward promotion where relevant. Meritorious performance in teaching, scholarship, and service is assessed in accordance with the same criteria that form the basis for promotion decisions.

The DOD Chair is required (per Faculty Rule 3335-3-35) to include a reminder in the annual performance and merit review letter 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.

A Documentation

For their annual performance and merit review, faculty members must submit the following documents to the DOD Chair no later than the final day of autumn semester classes:

- Office of Academic Affairs dossier outline, *Policies and Procedures Handbook*, Volume 3 (*required for probationary faculty*) or updated documentation of performance and accomplishments (*non-probationary faculty*)

- Updated CV, which will be made available to all faculty in an accessible place (*all faculty*)

Other documentation for the annual performance and merit review will be the same as that for consideration for promotion and/or tenure. That documentation is described in Section VI of this document.

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

B Probationary Tenure-track Faculty

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

If the DOD Chair recommends renewal of the appointment, this recommendation is final. The DOD 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 DOD Chair's letter, signed by both the DOD Chair and the faculty member (along with the faculty member's comments, if received) is forwarded to the dean of the college. In addition, the annual review letter becomes part of the cumulative dossier for promotion and tenure (along with the faculty member's comments, if he or she chooses).

If the DOD 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

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

External evaluations are solicited only when either the DOD Chair or the eligible faculty determine that 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.

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

The eligible faculty forwards a record of the vote and a written performance review to the DOD Chair, who conducts an independent assessment of performance and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment. At the conclusion of the DOD review, the formal comments process (per Faculty Rule 3335-6-04) is followed and the case is forwarded to the college for review, regardless of whether the Chair of the DOD recommends renewal or nonrenewal.

2. Eighth Year Review

Faculty members with an 11-year probationary period who have not achieved promotion and tenure by the eighth year will undergo a formal eighth year review, utilizing the same principles and procedures as the fourth year review.

3 Exclusion of Time from Probationary Period

Faculty Rule 3335-6-03 (D) sets forth the conditions under which a probationary tenure-track faculty member may exclude time from the probationary period. Additional procedures and guidelines can be found in the Office of Academic Affairs *Policies and Procedures Handbook*.

C Tenured Faculty

Associate professors are reviewed annually by the DOD Chair. The DOD Chair (or designee) conducts an independent assessment; meets with the faculty member to discuss his or her performance and future plans and goals; and prepares a written evaluation on these topics. The faculty member may provide written comments on the review.

Professors are reviewed annually by the DOD Chair (or designee) who meets with the faculty member to discuss their performance and future plans and goals. The annual review of professors is based on their having achieved sustained excellence in the discovery and dissemination of new knowledge relevant to the mission of the tenure initiating unit, as demonstrated by national and international recognition of their scholarship; ongoing excellence in teaching, including their leadership in graduate education in both teaching and mentoring students; and outstanding service to the DOD, the university, and their profession, including their support for the professional development of assistant and associate professors. Professors are expected to be role models in their academic work, interaction with colleagues and students, 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 DOD Chair (or designee) prepares a written evaluation of performance against these expectations. The faculty member may provide written comments on the review.

D Clinical Faculty

The annual performance and merit review process for clinical probationary and non-probationary faculty is identical to that for tenure-track probationary and tenured faculty respectively, except that non-probationary clinical faculty may participate in the review of clinical faculty of lower rank.

In the penultimate contract year of a clinical faculty member's appointment, the DOD Chair must determine whether the position held by the faculty member will continue. If the position will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 must be observed.

For probationary faculty, if the position will continue, a formal performance review is necessary to determine whether the faculty member will be offered reappointment. This review involves the solicitation of an updated CV and a vote by the committee of eligible faculty. External letters of evaluation are not solicited.

There is no presumption of renewal of appointment.

E Research Faculty

The annual review process for research probationary and non-probationary faculty is identical to that

for tenure-track probationary and tenured faculty, respectively, except that non-probationary research faculty may participate in the review of research faculty of lower rank.

In the penultimate contract year of a research faculty member's appointment, the DOD Chair must determine whether the position held by the faculty member will continue. If it will not continue, the faculty member is informed that the final contract year will be a terminal year of employment. The standards of notice set forth in Faculty Rule 3335-6-08 must be observed.

There is no presumption of renewal of appointment.

F Associated Faculty

Compensated associated faculty members in their initial appointment must be reviewed before reappointment. The DOD Chair, or designee, prepares a written evaluation and meets with the faculty member to discuss their performance, future plans, and goals.

The DOD Chair's decision on renewal of the appointment is final. If the decision is to renew, the Chair of the DOD may extend a multiple year appointment.

Compensated associated faculty members on a multiple year appointment are reviewed annually by the DOD Chair, or designee, who prepares a written evaluation and meets with the faculty member to discuss his or her performance, future plans, and goals. The DOD Chair will decide whether or not to reappoint. The DOD Chair's decision on reappointment is final.

Associated Faculty that are not compensated do not require formal review in order to be reappointed, although the DOD Chair may conduct a review if they so choose.

G Salary Recommendations

Salary recommendations, performance bonuses, and total compensation structure are determined or modified by an existing OSUMC compensation model.

Merit salary increases and other rewards made by the Department will be made consistent with this AP&T document requirements and other relevant policies, procedures, practices, and standards established by: (1) the College, (2) the Faculty Rules, (3) the Office of Academic Affairs, and (4) the Office of Human Resources.

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

Faculty who fail to submit the required documentation (see Section V-A above) for an annual performance and merit 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.

VI Promotion and Tenure and Promotion Reviews

A. Criteria and Documentation that Support Promotion

Faculty Rule 3335-6-02 provides the following context for promotion and tenure and promotion reviews:

In evaluating the candidate's qualifications in teaching, scholarship, and service, reasonable flexibility shall be exercised, balancing, where the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. In addition, as the university enters new fields of endeavor, including interdisciplinary endeavors, and places new emphases on its continuing activities, instances will arise in which the proper work of faculty members may depart from established academic patterns. In such cases care must be taken to apply the criteria with sufficient flexibility. In all instances superior intellectual attainment, in accordance with the criteria set forth in these rules, is an essential qualification for promotion to tenured positions. Clearly, insistence upon this standard for continuing members of the faculty is necessary for maintenance and enhancement of the quality of the university as an institution dedicated to the discovery and transmission of knowledge.

Outlined below are the Department's formal criteria for academic advancement, including promotion for each faculty appointment type and awarding of tenure. When the Department forwards the dossier of a candidate for review by the College 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. As the Department places new emphasis on interdisciplinary endeavors and program development, instances will arise in which the scholarly work of a faculty member may depart from established academic patterns, especially with regard to awarding tenure. Thus, care must be exercised to apply criteria flexibly, but without compromise in requiring the essential qualifications for promotion. Insistence upon this high standard for faculty is necessary for the maintenance and enhancement of the University as an institution dedicated to the discovery and transmission of knowledge.

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

Annually, the University's Office of Academic Affairs establishes specific guidelines, procedures, and schedules for the review of candidates for promotion and tenure. The Dean 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 Dean will submit the dossier to the College's Promotion and Tenure Committee for formal review. The committee will review the dossier and convey to the Dean in writing a recommended action to be taken. The Dean will consider the recommendations of the committee and will convey, in writing, a recommended action to the Executive Vice President and Provost.

1. Promotion to Associate Professor with Tenure

Faculty Rule 3335-6-02 provides the following general criteria for promotion to associate professor with tenure:

The awarding of tenure and promotion to the rank of associate professor must be based on convincing evidence that the faculty member has achieved excellence as a teacher, as a scholar, and as one who provides effective service; and can be expected to continue a program of high-quality teaching,

scholarship, and service relevant to the mission of the academic unit(s) to which the faculty member is assigned and to the university.

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

The 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 significance and recognition of scholarship. In addition, excellence in teaching and outstanding service to the University are required, but alone are not sufficient for promotion and awarding of tenure. These three key achievements (scholarship, teaching and service) are individually discussed below.

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

Scholarship: Scholarship is broadly defined as the discovery and dissemination of new knowledge. Achievement of excellence in scholarship is demonstrated by discovery of a substantial body of original knowledge that is published in high quality, peer-reviewed journals or proceedings, and achievement of a national reputation for expertise and impact in one's field of endeavor. Such endeavors might include laboratory investigation, development of innovative programs, theoretical insight, innovative interpretation of an existing body of knowledge, clinical science, public health and community research, implementation science, and diffusion research, among many potential others. While individual circumstances may vary, both the quantity and quality of publications should be considered. Due to the extensive variation in disciplines encompassed by the Department, it is difficult to establish expectations for journal impact factors or other metrics such as the H-index. However, all members of the faculty should strive to publish in the highest quality journals in their field and should provide indication of the relative caliber of those journals in their discipline. The number of times a journal article is cited is further evidence of a paper's impact. A sustained record of high quality and quantity of scholarly productivity as an Assistant Professor is required for promotion to the rank of Associate Professor. A suggested range of publications at time of promotion is 10 to 15 peer reviewed manuscripts reporting original work. However, these ranges suggest a scope of achievement and not inflexible requirements for promotion. Specific metrics in support of excellence in scholarship may be discipline- specific. For example, clinician investigators will have less time available for research than basic investigators and appropriate adjustments of these criteria should be made. The range of publications may be slightly adjusted in relation to the proportion of the faculty member's effort that is allocated to clinical service. Participation in collaborative, multidisciplinary research and team science is highly valued, especially to the extent that a faculty member's record of collaborative scholarship includes manuscripts on which authorship is first, senior, or corresponding; or the individual input of the faculty member as a middle author is uniquely contributory and clearly evident.

Evidence of sustained or multiple grant support is another crucial indicator of expertise in the field. Candidates for promotion to Associate Professor with tenure without significant clinical responsibilities must have obtained NIH funding as a principal investigator (PI) on an R01 grant or as one of several program directors or principal investigators (multiple-PD/PI) on a large NIH grant i.e., multicenter R01 or equivalent such as a project lead on a P01, U54), equivalent funding from the National Science Foundation (NSF) or have obtained a mid-career K award. Peer reviewed grants may include support from prominent national charitable foundations (e.g. Dermatology Foundation), a major industry grant, or

other federal entities such as the Centers for Disease Control and Prevention or the Department of Defense.

For clinicians seeking tenure, accommodation should be made for the time devoted to clinical practice as reflected in percent effort or average RVUs/FTE. For example, a 25- 50% clinical commitment might reduce the suggested range of publications by 25%.

Candidates for promotion to associate professor with tenure who have significant clinical responsibilities are expected to obtain extramural (NIH or comparable, as defined above) funding 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. As noted, faculty members are encouraged to collaborate with other investigators and are encouraged to meet the requirement for extramural support for their research as a one of several program directors or principal investigators on network-type or center grants or, in some circumstances, by serving as a co-investigator on multiple NIH grants. Similarly, faculty members who generate support for their research programs through creation of patents that generate licensing income or spin-off companies will meet the equivalent criteria of extramural funding.

Beyond basic and translational laboratory investigation, development of innovative programs in clinical science, public health and community research, comparative effectiveness research, implementation science, and diffusion research are acceptable fields of inquiry in this track.

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 while a faculty member at the University. It should be appreciated that evidence of scholarship below the specified range does not preclude a positive promotion decision and that 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.

Entrepreneurship is a special form of scholarship valued by the Department. Entrepreneurship includes patents and licenses of invention disclosures, software development, and materials transfers (e.g., novel plasmids, transgenic animals, cell lines, antibodies, and similar reagents), technology commercialization, formation of startup companies and licensing and option agreements. Inasmuch as there are no expressly defined metrics for entrepreneurship, the Department will analyze these flexibly. 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 revenues should be considered equivalent to extramural grant awards, and 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 distinctive record of teaching and mentoring excellence is required for promotion and tenure. Excellence is demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching awards and other honors are also highly supportive of teaching excellence. A faculty member may also demonstrate a favorable impact on teaching and training programs, including curricular innovation, new teaching modalities or methods of evaluating teaching, and program or course development. Development of innovative programs having significant impact that integrate teaching, research and patient care are valued.

Teaching excellence is most commonly demonstrated in this track through evaluations and peer feedback

based on presentations at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals and similar activities. Active participation as a mentor in training grants such as NIH T32 or K-awards, F31, F32 or other mentored fellowship awards for graduate students or postdoctoral fellows is highly valued as a teaching and mentoring activity.

Mentoring is a critically important component of teaching. It is expected that those proceeding to the rank of Associate Professor will have begun a career of mentorship of students, trainees such as residents or fellows, doctoral or post-doctoral students or faculty at earlier career stages. Credible evidence for mentoring requires not only a list of those mentored but their accomplishments, which reflect the effectiveness of the faculty member's mentorship.

Service: Service includes administrative service to the University, excellent patient care, 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 can include appointment or election to Department, College, hospital, and/or University committees. Evidence of professional service to the faculty member's discipline can include journal editorships, reviewer for journals or other learned publications, offices held and other service to local and national professional societies. Evidence of the provision of professional expertise to public and private entities beyond the University includes: service as a grant reviewer including service on ad hoc or regular NIH study sections, serving as an external program examiner, service on panels and commissions, program development, professional consultation to industry, government, and education. Professional expertise provided as compensated outside professional consultation alone is insufficient to satisfy the service criterion.

As noted throughout this document, requirements for advancement will vary for each faculty member based on their specific clinical expectations. Excellence in teaching, scholarship, and service is moreover defined to include professional ethical conduct in each area of responsibility, consistent with the American Association of University Professors' Statement on Professional Ethics.

2. Promotion to Associate Professor without Tenure *(In Advance of Tenure)*

Faculty members with significant clinical responsibilities with an eleven-year probationary period who fully meet the teaching and service requirements for promotion to associate professor with tenure, but not all of the research requirements, may petition for promotion to associate professor without tenure. Promotion to Associate Professor in advance of tenure is available to faculty members with 11-year probationary periods. The Department may propose a faculty member for promotion to Associate Professor in advance of tenure when the faculty member has attained a level of achievement that demonstrates that she or he is making significant progress towards tenure, but has not yet satisfied all the expectations for its award. In addition, the Tenure-Track members of the APT Committee or the DOD Chair 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 final 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 final 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. 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. 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.

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. 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.

Service: Indicators of service consistent with promotion in advance of tenure might include service primarily within the institution with the beginning of a 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. Similarly, innovative programs that advance the mission of the university, such as creation and sustenance of a program to deliver healthcare to the community, or design and implementation of a novel programs within the Department, College, University or beyond, can be considered service activities.

It is noted that scholarship below the suggested benchmarks does not preclude promotion in advance of tenure nor does achievement beyond guidelines for promotion in advance of tenure assure promotion. See section VI.A.1 for a discussion of quality metrics for publications. As for promotion with tenure, expectations for scholarly achievement must be calibrated based on the clinical commitment of the faculty member.

3 Promotion to Professor

Faculty Rule 3335-6-02 establishes the following general criteria for promotion to the rank of professor:

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

Awarding promotion to the rank of Professor with Tenure must be based upon convincing evidence that the candidate has a sustained, eminent record of achievement recognized nationally and internationally. 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.

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. See Section VI.A.1. for a discussion of quality metrics for publications. Candidates for promotion to Professor should ideally have 25-35 peer-reviewed publications since their promotion to Associate Professor. However, this is a range that suggests a scope of achievement and not an inflexible requirement for promotion. As noted above, participation in collaborative, multidisciplinary research and team science is highly valued, especially to the extent that a faculty member's record of collaborative scholarship includes manuscripts on which authorship is first, senior, or corresponding; or the individual input of the faculty member as a middle author is uniquely contributory and clearly evident. Clear evidence of an international reputation including: election to a leadership position in an international society or repetitive appointments to a national office, 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, and

editorships and lectures in international venues. Candidates for promotion will be expected to have developed and maintained nationally competitive and peer-reviewed extramural funding to support their research program including sustained NIH funding. At a minimum, basic science candidates for promotion to Professor must be a PI or multiple-PD/PI on at least one NIH funded R01 or equivalent grant with a history of at least one competitive renewal and another nationally competitive grant, or have simultaneous funding on two NIH awards.

For clinician scientists seeking promotion to Professor with tenure, accommodation should be made for the time devoted to clinical practice as reflected in percent effort or average RVUs/FTE. However, for those with 25-50% clinical effort evidence of at least co-investigator status in one of the grant categories listed above is a prerequisite to tenure. For clinicians with a greater than 50% clinical commitment there should be either evidence of co-investigator status in one of the grant categories listed above and/or strong publication record coupled with international recognition of clinical excellence. Similar accommodations can be made on the basis of educational commitments.

Teaching and Mentoring: A record of teaching excellence as an Associate Professor must continue to justify promotion to the rank of Professor. Evidence for exemplary teaching includes outstanding student and peer evaluations, course or workshop leadership and design, a training program directorship, teaching awards, organization of national course and curricula, and/or 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.

Mentoring is a critically important component of teaching. It is expected that those proceeding to the rank of Professor will have a significant career of mentorship of students, trainees such as residents or fellows, doctoral or post-doctoral students or faculty at earlier career stages. Credible evidence for mentoring requires not only a list of those mentored but their accomplishments, which reflect the effectiveness of the faculty member's mentorship.

Service: Promotion to the rank of Professor requires service with distinction to the College the University, and/or national and international professional societies. Service can include leadership roles on University 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.

4. Clinical Faculty

Clinical Faculty members have a greater responsibility for clinical care in addition to their excellence in teaching and scholarship that in fact is often broader in scope than that in the Tenure-Track. Clinical Faculty members are not eligible for tenure. The criteria in the categories of teaching and service are, for the most part, similar to those for the Tenure-Track for each faculty rank. The domains of scholarship are widely varied for Clinical Faculty in the Department of Dermatology and accordingly the Department is committed to maintaining a broad and flexible view of meritorious scholarship.

Clinical Faculty members may continue their service to the Department, College and the University without ever seeking promotion to the next higher faculty rank, simply through repeated reappointment at the same level. However, the goals and objectives of the Department, College and the University are best served when all faculty members, in all tracks, 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 those in the Clinical Excellence Pathway, promotion to the rank of Associate

Professor for Clinical Faculty must be based upon convincing evidence that the candidate has developed a national level of impact and recognition since being appointed to the rank of Assistant Clinical Professor. Clinical Faculty typically pursue careers as clinician scholars, clinician educators or experts in the scholarship of practice (i.e., clinical excellence).

a. Promotion to Associate Professor on the Clinical Educator Pathway

Promotion of Clinical Faculty to the rank of Associate Professor in the Clinician Educator Pathway should be based upon convincing evidence that that the candidate has developed a national level of impact and recognition as a clinician educator since being appointed to the rank of Assistant Clinical Professor.

Evidence of national recognition and impact should be related to the primary focus of this pathway (clinical or didactic education), but can also be related to clinical, scholarship, or professional service. 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 national continuing medical education programs.

Teaching and Mentoring: A distinctive record of teaching and mentoring excellence is required for promotion. Excellence is demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching awards and other honors are necessary evidence of teaching excellence. Candidates should demonstrate favorable impact on teaching and training programs, including curriculum innovation, new teaching modalities or methods of evaluating teaching, and program or course development.

Effectiveness may be measured by various metrics including, but not limited to curriculum/web-based design and implementation, innovative teaching practices, modules, 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, innovative programs that have significant impact and that integrate teaching, research and patient care are particularly valued. Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is highly valued as a teaching and mentoring activity.

Mentoring is a critically important component of teaching. It is expected that those proceeding to the rank of Associate Professor will have a significant career of mentorship of students, trainees such as residents or fellows, doctoral or post-doctoral students or faculty at earlier career stages. Credible evidence for mentoring requires not only a list of those mentored but their accomplishments, which reflect the effectiveness of the faculty member's mentorship.

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.

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. Evidence of service can include membership on

Department, College, Medical Center, or University committees, or mentoring activities. Professional service could include but is not limited to, peer reviews of manuscripts and grant applications, service on editorial boards or national society committees, and service to the community. Implementation of novel programs within the medical center is valued.

Scholarship: The candidate should demonstrate contributions to scholarship as reflected by authorship of peer-reviewed journal publications. 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.

These are examples and are not inclusive of the variety of scholarly work that may be developed by these faculty members. Other faculty members in the Clinician Educator Pathway may publish works based on their areas of expertise which form the basis for their teaching. These may include 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 at time of promotion is suggested as a scope of work consistent with promotion to Associate Professor. Consideration will be given about rank of authorship. Senior author or first author publications will be recognized. However, this range does not represent an inflexible requirement for promotion. For those previously appointed to the faculty at other institutions, consideration should be given to the publication record at that institution. The guiding principle for promotion is that there is clear evidence that the trajectory of publications is sustained or increased.

b. Promotion to Professor, Clinical Educator Pathway

Promotion of Clinical Faculty to the rank of Professor in the Clinician Educator pathway must be based upon convincing evidence that that the candidate has developed a national level of leadership or international recognition as a teacher since being appointed to the rank of Associate Professor.

Teaching and Mentoring: A distinctive record of sustained superlative teaching and mentoring excellence is required for promotion. Excellence is demonstrated by sustained positive evaluations by students, residents, fellows, local colleagues and national peers. Multiple teaching awards and other honors are indicative of this level of teaching excellence. Candidates must demonstrate favorable impact on teaching and training programs, including curriculum innovation, new teaching modalities or methods of evaluating teaching, and program or course development. Other examples include the development of multiple impactful, innovative programs that integrate teaching, research and patient care. Development of multiple innovative programs with significant impact and that integrate teaching, research and patient care are valued. Teaching excellence may also be demonstrated through participation in specialty boards such as Resident Review Committees, specialty boards and the Accreditation Council for Graduate Medical Education.

Mentoring is a critically important component of teaching. It is expected that those proceeding to the rank of Professor will have a significant career of mentorship of students, trainees such as residents or fellows, doctoral or post-doctoral students or faculty at earlier career stages. Credible evidence for mentoring requires not only a list of those mentored but their accomplishments, which reflect the effectiveness of the faculty member's mentorship.

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. Evidence of service can include appointment or election to College, Medical Center, and/or University committees and mentoring activities. Evidence of professional service to the faculty member's discipline should include journal editorships, and offices held and other service to national professional societies.

Scholarship: The candidate must demonstrate sustained contributions to scholarship as reflected by authorship of peer-reviewed journal publications (10 to 15 since time of promotion or since time of appointment to the faculty). For those previously appointed to the faculty at other institutions, consideration should be given to the publication record at that institution. The guiding principle for promotion is that there is clear evidence that the trajectory of publications is sustained or increased. Furthermore, this range does not represent an inflexible requirement for promotion. 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. These are examples and are not inclusive of the variety of scholarly work that may be developed by these faculty members. Other faculty members in the Clinician Educator Pathway may publish works based on their areas of expertise which form the basis for their teaching. These may include 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 15-20 scholarly written or digital publications of this type at time of promotion is suggested as a scope of work consistent with promotion to Professor. However, this range does not represent an inflexible requirement for promotion.

c Promotion to Associate Professor, Clinician Scholar Pathway

Promotion of Clinical Faculty to the rank of Associate Professor in the Clinician Scholar pathway is based on convincing evidence that the candidate has developed a national level of impact and recognition as a clinician scientist since being appointed to the rank of Assistant Clinical 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 distinctive record of teaching and mentoring excellence is required for promotion. Excellence is demonstrated by positive evaluations by students, residents, fellows, local colleagues and national peers. Teaching awards and other honors are also supportive of teaching excellence. Teaching excellence must be demonstrated through evaluations and peer feedback based on presentations at other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, and the like. Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is very highly valued as a teaching and mentoring activity.

Mentoring is a critically important component of teaching. It is expected that those proceeding to the rank of Associate Professor will have a significant career of mentorship of students, trainees such as residents or fellows, doctoral or post-doctoral students or faculty at earlier career stages. Credible evidence for mentoring requires not only a list of those mentored but their accomplishments, which reflect the

effectiveness of the faculty member's mentorship

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. Evidence of service can include membership on Department, College, Medical Center, and/or University committees and mentoring activities.

Scholarship: The candidate must demonstrate contributions to scholarship as reflected by authorship of peer-reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational or clinical research projects or in clinical trials. 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 study design, study implementation, data acquisition, data interpretation and manuscript preparation are regarded as having merit equivalent to those that are first or senior author. A range of 15 or more publications of this type at time of promotion is suggested as a scope of work consistent with promotion to Associate Professor. A minimum of five as first or last author. However, this range does not represent an inflexible requirement for promotion. Participation in collaborative multidisciplinary research and team science is highly valued even though it may result in "middle" authorship, as long as the faculty member's unique contribution can be discerned.

Faculty on this pathway should have acquired external funding in support of their program of scholarship. Candidates should have a track record of being investigators in foundation, industry or NIH studies. Entrepreneurship and appropriate commercialization of new discoveries are also evidence of scholarly activity as described in Section VI.A.1 and will be viewed favorably.

d. Promotion to Professor, Clinician Scholar Pathway

Promotion of Clinical Faculty to the rank of Professor in the Clinician Scholar pathway must be based upon convincing evidence that that the candidate has developed national leadership or international recognition as a clinician scientist 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 record of teaching excellence as an Associate Professor must continue to justify promotion to the rank of Professor. The faculty member should have made unique contributions of significant impact to the teaching mission as an Associate Professor. Active participation as a mentor in training grants such as NIH T32 or K-awards and other such mentored programs is highly valued as a teaching and mentoring activity. 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 may also demonstrate teaching excellence. It is presumed that this will take the form of a primary mentoring relationship, and not just ad hoc career coaching. Candidates should provide evidence mentoring relationships by submitting mentees' evaluations. Mentoring is a critically important component of teaching. It is expected that those proceeding to the rank of Professor will have a

significant career of mentorship of students, trainees such as residents or fellows, doctoral or post-doctoral students or faculty at earlier career stages. Credible evidence for mentoring requires not only a list of those mentored but their accomplishments, which reflect the effectiveness of the faculty member's mentorship Service:

Promotion to the rank of Professor requires service with distinction to the Department, College and the University, and in a national context. The faculty member should have made new service contributions of significant impact as an Associate Professor. Candidates should have led the development of new and innovative clinical or clinical research programs which received national recognition and participated in leadership positions of learned academic education professional societies.

Scholarship: The candidate must demonstrate contributions to scholarship as reflected by authorship of peer-reviewed journal publications, scholarly review articles and case reports, and participation in basic, translational and/or clinical research projects or in clinical trials. 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 expertise was essential to study design, study implementation, data acquisition, data interpretation and manuscript preparation are regarded as having merit equivalent to those that are first or senior author. 25 or more scholarly publications since time of promotion or appointment to the Department is suggested as a scope of work consistent with promotion to Professor. A minimum of 10 manuscripts as first or last author. However, this range does not represent an inflexible requirement for promotion.

Faculty members on this track should ideally have been co-investigators on multiple NIH, Pharma, or major national clinical trials. Entrepreneurship and inventor ship are also evidence of scholarly activity, as described in Section VI.A.1.A and will be viewed favorably.

e. Criteria for Promotion on the Clinical Excellence Pathway (Scholarship of Practice)

A faculty member assigned major responsibilities (a minimum of 80% professional effort averaged over the previous five years) for clinical care and clinical administrative activities may seek promotion for excellence in activities categorized as "scholarship of practice" (or "scholarship of application"). Total clinical effort should reflect the additional time necessary for patient management that commonly goes beyond time spent in billable clinic and inpatient service hours. The clinical time commitment of these individuals may not allow the achievement of personal national recognition for their accomplishments; however, their unique contributions serve to enhance the national recognition of the Department, College, Medical Center or University. Their contribution to the regional and national recognition of the Medical Center may serve as a proxy for individual national recognition.

f. Promotion to Associate Professor, Clinical Excellence Pathway

Promotion to the rank of Associate Professor on the Clinical Excellence Pathway must be based upon convincing evidence that the candidate has demonstrated a level of excellence and a record of impact beyond the usual physician's scope or sphere of influence. Promotion will not be granted purely on the basis of length of service to the institution or satisfactory job performance.

One of the most important measures of excellence in the scholarship of practice would be evidence that activities or innovations of an individual faculty member have contributed to a change in the scope and the nature of practice in his or her own discipline. Another piece of evidence could be the development of new and innovative approaches to the clinical management of challenging clinical problems.

The Department, in accordance with the College guidelines for creation of a Clinical Excellence Pathway, has defined metrics for promotion based on criteria relevant to Dermatology. This pathway is

not to be mistaken for an easier route to promotion, but provides an alternate based on rigorous criteria for those whose primary activity and interest is in Clinical Practice. Promotion will require presentation of tangible and credible evidence by the clinical faculty of not only achievement of their goals, but also of excellence and impact in their respective clinical area, related to the scope of their practice.

According to Boyer's taxonomy, scholarship exists in the domains of Discovery, Integration, Application and Teaching (Boyer EL. Scholarship reconsidered. Priorities of the Professoriate. The Carnegie Foundation for the Advancement of Teaching. Lawrenceville, NJ: Princeton University Press. 1990). Scholarship of practice is scholarship of application as defined by Boyer. Due to the varied nature of the activities of clinical faculty, scholarship of practice can be evidenced in a wide variety of behaviors but all must have demonstrable impact on practice and patient care. While excellence in patient care is expected of all clinicians, scholarship of practice denotes new contributions to patient management, approaching new patient populations, quality initiatives, and other innovations that advance the field of practice. Other important criteria relate to the level of excellence as well as achievement of reputation. Citizenship and service are certainly required to fulfill the basic criteria before these special attributes can be considered for promotion.

Evaluation for promotion based on scholarship of practice requires that the candidate document specific metrics of practice innovation and impact including changes in quality metrics, numbers of patients served and dissemination of innovation to other practice sites. It is important to highlight the importance, originality and significance of the clinical work that is being cited for promotion.

As with all applications for promotion, letters of review are required. These may be from internal reviewers who are familiar with the candidate's work, regional experts who are aware of the candidate's work, reputation and who may have referred and co-managed patients with the candidate. Letters from outside experts are also appropriate as for other pathways. The nature of the reviewers may differ from the usual expert reviewers who are remote professionally and often geographically distant from the candidate. The careers of these experts will differ from the external reviewers in other pathways in being characterized by excellence in patient care rather than a history of scholarly publications or grant funding. Local experts may include colleagues from another health center and can include non-academic institutions. Evaluation of local expert clinicians from inside the University (Ohio State University Wexner Medical Center or Nationwide Children's Hospital) is permitted but restricted to colleagues outside the candidate's department. Reviewers should be at or above the rank to which the candidate aspires (on a limited basis, reviewers below the aspired rank will be accepted though these are not highly recommended.)

The following are criteria for promotion to Associate Professor in the Clinical Excellence Pathway (See table that follows for a description of areas in which faculty may demonstrate clinical excellence for promotion).

Basic requirements:

- Achievement of clinical goals for service
- Excellent citizenship that promotes the advancement of high caliber medical care through collaboration with other health care providers

Promotion criteria:

- Demonstration of excellence: Expertise in clinical field
- Demonstration of reputation: At least local or regional.
- A unit's reputation may be a reflection of the impact of a member. Therefore local or

regional reputation may be documented by evidence that a faculty member significantly contributed to the ranking or reputation of a practice unit.
- Demonstration of dissemination of the faculty member's contributions to the advancement of practice within or outside their unit or the institution.

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

1. Multiple lines of evidence supporting excellence in clinical performance, including discipline relevant clinical measures such as, but not limited to quality indicators, turnaround times, process improvements where performance measures can be internally or externally benchmarked for comparison. Clinical productivity metrics (e.g. wRVU) per se, are not sufficient for supporting excellence in clinical performance.
2. Preferred provider recognition. Referral patterns or other metrics that indicate acknowledgment of a faculty member's expertise such as, but are not limited to, the number of cases referred for a second opinion, from other states or other regions within Ohio.
3. Evidence that a faculty member is frequently consulted by physicians from outside the OSU system for advice about patient care.
4. 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.
5. Clinical program development. Evidence that a faculty member has developed a new program or led improvements in an existing program. Subsequent to those innovations, evidence that 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.
6. The development and/or leading the acquisition of new instrumentation or processes like artificial intelligence that lead to evidence that there has been improved patient care, cost/time savings and improved accuracy.
7. Evidence that a faculty member has developed clinical innovations that have been adopted by other physicians within or outside the Medical Center/NCH.
8. Evidence that the faculty member participates as an instructor or involved with the development of education activities at local or state levels that are in person, virtual, and/or web-based.
9. Receipt of awards from local, state, national organizations for clinical excellence.
10. Participation in the development of institutional or statewide practice guidelines.

g. Promotion to Professor, Clinical Excellence Pathway

Promotion to Professor in the Clinical Excellence Pathway requires the benchmarks for Associate Professor with additional evidence of national impact on practice or involvement with national programs of patient care, practice innovation, and advancement of quality of care.

Basic requirements:

- Achievement of clinical goals for service
- Excellent Citizenship that promotes the advancement of high caliber medical care through collaboration with other health care providers

Promotion criteria:

- Demonstration of excellence: Leadership in clinical field
- Demonstration of reputation: National.
- A unit's reputation may be a reflection of the impact of a member. Therefore national reputation may be documented by evidence that a faculty member significantly contributed to the ranking or reputation of a practice unit.
- Other indicators of national recognition include, but are not restricted to, adoption of the faculty member's contribution to the advancement of practice at other institutions, active membership in national organizations and invitations to consult at or present their innovations at outside institutions.
- Demonstration of dissemination of the faculty member's contribution to the advancement of practice either in a wider scope than at time of promotion to Associate Professor or development of new practice innovations that differ from those at time of last promotion. In the latter case, it will again be expected that the practice innovation has influenced practice within or outside the institution.

5 Research Faculty

Promotion to Research Associate Professor. Candidates for promotion to research associate professor are expected to demonstrate the beginnings of a 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.

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 20-25 peer reviewed journal publications since their appointment as research assistant professors. First, senior, or corresponding authorships are typically not expected. 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.

It is expected that the successful candidate will have a sustained record of 90-95% salary recovery from extramural sources. Research faculty typically serve as Co-Investigators, and independent extramural funding (Principal Investigator or Multiple Principal Investigator) is not required.

Promotion to Research Professor. The awarding of promotion to the rank of Research Professor must be based upon convincing evidence that 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, request to serve in central roles on multi-center studies, etc.

Research faculty typically are not expected to establish an independent program of research. Promotion to professor requires documentation evidence of a sustained and substantial record of scholarship. Candidates should have 25-35 peer reviewed journal publications since their appointment as research associate professor. Some first, senior, or corresponding authorships are expected. 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.

It is generally expected that the successful candidate will have a sustained record of 90-95% salary recovery from extramural sources. Research faculty typically serve as Co-Investigators, and independent extramural funding (Principal Investigator or Multiple Principal Investigator) is not required.

6 Associated Faculty

a. Compensated Associated Faculty

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 clinical educator pathway, except that the decision of the Dean is final.

b. Uncompensated Associated Faculty

For uncompensated associated faculty, promotion should reflect contributions to the Department 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 Departmental and or college committees, contributions to medical student curriculum development or other evidence of contributions to the educational or scholarly mission of the Department or college. For promotion to Professor, the level of contribution must demonstrate sustained and enhanced engagement or leadership.

Required documentation for considering promotion of associated faculty:

- Submission of an updated CV
- 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.
- Teaching evaluations if available
- Letter from the committee of eligible faculty including the vote
- Letter from the chair
- Review and approval by the College of Medicine Office of Academic Affairs

Promotion of Visiting Faculty. Visiting faculty members are not eligible for promotion.

B Procedures

The DOD's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule 3335-6-04 and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the *Policies and Procedures Handbook*.

1 Tenure-Track, Clinical, and Research Faculty

a Candidate Responsibilities

Candidates for promotion and tenure or promotion are responsible for submitting a complete, accurate dossier and providing a copy of the APT under which they wish to be reviewed. If external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators compiled for their case according to DOD guidelines.

- Dossier

Every candidate must submit a complete and accurate dossier that follows the Office of Academic Affairs dossier outline. It should include academic degrees, academic appointments, published manuscripts, clinical service, committees, participation in professional regional and national societies, and research activities and grants. 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 Appointments, Promotion and Tenure Committee makes reasonable efforts to check the dossier for accuracy and completeness, the candidate bears full responsibility for all parts of the dossier that are to be completed by them.

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

Teaching

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

All Tenure-Track and Clinical Faculty members in the Department must be engaged in teaching, development of the Department's and College's academic programs, and mentoring of students. Evidence of effective teaching must be demonstrated by documentation of teaching activities over a sustained period of time. The College's Office of Medical Education can provide assistance with appropriate documentation and assessment tools to be used in evaluation of teaching.

The Department has established in this APT 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, trainees, peers, self-evaluation and administrators. Student evaluations and peer evaluations, at a minimum, are required. Excellence is demonstrated by positive evaluations from students, residents, fellows, local colleagues and national peers. The Department has established the use of the College's grading system as a consistent methodology and assessment tool for teacher evaluation by students in specific types of instructional settings. Importantly, administration of this assessment tool is not under the control of the faculty member being evaluated. Faculty members may supplement the required assessment tool with others if they wish. Students are provided an opportunity to assess the instructor and course using the required assessment tool in every regular classroom course. Guidelines are established for the frequency with which required assessment tools is administered in other types of instructional settings such as outpatient clinics and inpatient services. Regardless of the instructional setting, effort has been made to obtain evaluations from the largest number of students possible. When there is a significant discrepancy between the number of students enrolled and the number providing evaluations, the evaluations cannot

be assumed to represent a consensus of student opinion.

Typically, the time period for teaching 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 promotion or the last five years, whichever is more recent, to present. The eligible faculty may allow a tenured or non-probationary 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.

- cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every formal class when appropriate
- VITALS evaluations
- peer evaluation of teaching reports as required by the Department's peer evaluation of teaching program
- teaching activities as listed in the core dossier including
    - involvement in graduate/professional exams, theses, and dissertations, and undergraduate research
    - mentoring postdoctoral scholars and researchers
    - extension and continuing education instruction
    - involvement in curriculum development
    - awards and formal recognition of teaching
    - presentations on pedagogy and teaching at national and international conferences
    - adoption of teaching materials at other colleges or universities
- other relevant documentation of teaching as appropriate

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.

Other documentation of teaching may include an administrator's 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.

Mentorship is an essential component of teaching and education in all areas of career emphasis. Faculty should list all those they have mentored at any career stage and list the mentees' accomplishments that reflect the effectiveness of the mentoring relationship.

Scholarship

Scholarship is broadly defined as the discovery and dissemination of new knowledge by research, study and learning. In the Department, a faculty member's scholarship must be demonstrated to be of high quality, significance and impact.

This APT document establishes how the evidence of a faculty member's scholarship will be documented and assessed in terms of quality and significance.

All Tenure-Track faculty, Clinical Faculty, and Research Faculty must develop a record of scholarship that is documented by a body of original scholarly work over a period of time. 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 communities apropos to the faculty member's field of scholarship.

Evidence of scholarship can include: 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.

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 or sales figures, adoption of texts or procedures by external departments or academic health centers, and so forth.

For scholarship documentation, a full history of publications and creative work should be included, as this information provides context to the more recent and relevant research record and/or demonstrates scholarly independence. Information about scholarship produced prior to the start date (for probationary faculty) or date of last promotion (for tenured or nonprobationary faculty) may be provided. Any such material should be clearly indicated. However, it is the scholarship performance since the start date or date of last promotion that is to be the focus of the evaluating parties. All scholarship outcomes will be reviewed for increasing independence over time. There should also be an increasing trajectory of significant scholarly outcomes over time.

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 Department, a faculty member'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. This APT document specifically establishes how the evidence of a faculty member's service will be documented and assessed in terms of quality and effectiveness.

Evidence of administrative service to the University may include appointment or election to Department, College, and/or University committees, holding administrative 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 by the Department. 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. While provision of high-quality patient care is expected of all faculty members with clinical responsibilities, it is insufficient in and of itself for meeting the service requirement for Tenure-Track and Clinical Faculty.

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 promotion or the last five years, whichever is more recent, to present. The 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 complete dossier is forwarded when the review moves beyond the department. The documentation of teaching is forwarded along with the dossier. The documentation of scholarship and service is for use during the departmental review only, unless reviewers at the college and university levels specifically request it.

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

Candidates must also submit a copy of the APT under which they wish to be reviewed. Candidates may submit their DOD's current APT document; or, alternatively, 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, whichever of these two latter documents is the more recent. However, 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. The APT document must be submitted when the dossier is submitted to the DOD.

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

As noted above, if external evaluations are required, candidates are responsible for reviewing the list of potential external evaluators developed according to DOD guidelines. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The DOD Chair decides whether removal is justified.

b Appointments, Promotion and Tenure Committee Responsibilities

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

- To review this document annually and to recommend proposed revisions to the faculty.

- To consider annually, in spring 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 two-thirds majority of those eligible to vote on a request must vote affirmatively for the review to proceed.

  - The committee bases its decision on assessment of the record as presented in the faculty member's CV and on a determination of the availability of all required documentation for a full review (student and peer evaluations of teaching). Lack of the required documentation is necessary and sufficient grounds on which to deny a non-mandatory review.

  - A tenured faculty member may only be denied a formal promotion review under Faculty Rule 3335-6-04 for one year. 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.

  - A decision by the committee to permit a review to take place in no way commits the

eligible faculty, the DOD Chair, or any other party to the review to making a positive recommendation during the review itself.

- Annually, in late spring through early autumn semester, to provide administrative support for the promotion and tenure review process as described below.

- **Late Spring:** Select from among its members a Procedures Oversight Designee who will serve in this role for the following year. The Procedures Oversight Designee cannot be the same individual who chairs the committee. The Procedures Oversight Designee's responsibilities are described in the Office of Academic Affairs annual procedural guidelines.

  - **Late Spring**: Suggest names of external evaluators to the DOD Chair.

- **Early Autumn:** Review candidates' dossiers for completeness, accuracy (including citations), and consistency with Office of Academic Affairs requirements; and work with candidates to assure that needed revisions are made in the dossier before the formal review process begins.

- Meet with each candidate for clarification as necessary and to provide the candidate an opportunity to comment on his or her dossier. This meeting is not an occasion to debate the candidate's record.

- 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.

- Revise the draft analysis of each case following the meeting of the full eligible faculty, 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 DOD Chair.

- Provide a written response, on behalf of the eligible faculty, to any candidate comments that warrant response, for inclusion in the dossier.

- Provide a written evaluation and recommendation to the DOD Chair in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases since the DOD's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this DOD's cases.

c Eligible Faculty Committee Responsibilities

The responsibilities of the members of the Eligible Faculty Committee are as follows:

- To review thoroughly and objectively every candidate's dossier in advance of the meeting at which the candidate's case will be discussed.

- To attend all eligible faculty meetings except when circumstances beyond one's control prevent attendance; to participate in discussion of every case; and to vote.

d Chair of the Department of Dermatology Responsibilities

The responsibilities of the DOD Chair are as follows:

- To charge each member of the Eligible Faculty Committee to conduct reviews free of bias and based on criteria.

- 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. (The DOD must ensure that such questions are asked of all applicants in a non-discriminatory manner.)
- **Late Spring Semester**: To solicit external evaluations from a list including names suggested by the Appointments, Promotion and Tenure Committee, the DOD Chair and the candidate. (Also see External Evaluations below.)

- To solicit an evaluation from a TIU head in which the candidate has a joint appointment.

- To make each candidate's dossier available in an accessible place for review by the eligible faculty at least two weeks before the meeting at which specific cases are to be discussed and voted.

- To remove any member of the eligible faculty from the review of a candidate when the member has a conflict of interest but does not voluntarily withdraw from the review.

- To attend the meetings of the eligible faculty at which promotion and tenure matters are discussed and respond to questions raised during the meeting. At the request of the eligible faculty, a Chair of the DOD will leave the meeting to allow open discussion among the eligible faculty members.

- **Mid-Autumn Semester:** To provide an independent written evaluation and recommendation for each candidate, following receipt of the eligible faculty's completed evaluation and recommendation.

- To meet with the eligible faculty to explain any recommendations contrary to the recommendation of the committee.

- To inform each candidate in writing after completion of the DOD review process:

    - of the recommendations by the eligible faculty and DOD Chair.

    - of the availability for review of the written evaluations by the eligible faculty and DOD Chair

    - of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the DOD Chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the DOD Chair, indicating whether or not he or she expects to submit comments.

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

- To forward the completed dossier to the college office by that office's deadline.

- To receive the eligible faculty's written evaluation and recommendation of candidates who are joint appointees from other tenure-initiating units, and to forward this material, along with

the Chair of the DOD's independent written evaluation and recommendation, to the DOD Chair of the other tenure-initiating unit by the date requested.

2 Procedures for Associated Faculty

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

3 External Evaluations

External evaluations of candidates for promotion are obtained for all faculty on the Clinician Educator Pathway, Clinician Scholar Pathway, Promotion and Tenure or Promotion Reviews of Tenure-track faculty, as well all Research Appointment contract renewals and Promotion Reviews. External evaluations are not obtained for clinical excellence faculty under review for promotion to Associate Professor, unless the faculty member has been involved in a significant amount of scholarship in their clinical focus area of excellence. It is recommended that external evaluations (in addition to internal evaluations) be obtained for faculty seeking promotion to Professor on the Clinical Excellence pathway, since clear and convincing evidence is required that the candidate has achieved a national reputation in their 'scholarship of practice.' The decision to seek external evaluations for a clinical faculty member on the Clinical Excellence Pathway member will be made by the DOD Chair after consulting with the candidate and the chair of the Appointments, Promotion and Tenure Committee.

A minimum of five credible and useful evaluations must be obtained for tenure track faculty and for clinical faculty on the clinician scholar pathway. A minimum of three credible and useful evaluations must be obtained for clinical faculty on the clinician educator and clinical excellence pathways. A credible and useful evaluation:

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator, or former academic advisor or post-doctoral mentor of the candidate. Qualifications are generally judged on the basis of the evaluator's expertise, record of accomplishments, and institutional affiliation. This DOD will solicit evaluations only from professors at institutions comparable to Ohio State. In the case of an assistant professor seeking promotion to associate professor with tenure, a minority of the evaluations may come from associate professors.

- Provides sufficient analysis of the candidate's performance to add information to the review. A letter's usefulness is defined as the extent to which the letter is analytical as opposed to perfunctory. Under no circumstances will "usefulness" be defined by the perspective taken by an evaluator on the merits of the case.

Since the DOD cannot control who agrees to write and or the usefulness of the letters received, more letters are sought than are required, and they are 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 five useful letters result from the first round of requests.

As described above, a list of potential evaluators is assembled by the Appointments, Promotion and Tenure Committee, the DOD Chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule 3335-6-04 requires that no more than half the external evaluation letters in the dossier be written by persons

suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this DOD requires that the dossier contain letters from evaluators suggested by the candidate.

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 DOD Chair, who will decide what, if any, action is warranted (requesting permission from the Office of Academic Affairs to exclude that letter from the dossier). It is in the candidate's self-interest to assure that there is no ethical or procedural lapse, or the appearance of such a lapse, in the course of the review process.

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

VII Appeals

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.

VIII Seventh (Twelfth)-Year Reviews

In most instances, a decision to deny promotion and tenure in the penultimate probationary year (11th year for faculty members with clinical responsibilities, 6th year for those without 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 Department 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 Faculty Rule 3335-6-05 (B).

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

IX Procedures for Student and Peer Evaluation of Teaching

A Student Evaluation of Teaching

Student teaching evaluations will be documented from lectures to MedII classes and lectures to

medical students. Documentation of teaching evaluations from medical students and residents will be reviewed.

B Peer Evaluation of Teaching

The DOD Chair oversees the DOD's peer evaluation of teaching process.

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

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

- to review the teaching of probationary tenure-track, clinical, and associated faculty at least once per year with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned.

- to review the teaching of tenured associate professors and non-probationary associate clinical professors at least once every other year, with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned over a six-year period and of having at least four peer reviews of teaching before the commencement of a promotion review.

- to review the teaching of tenured professors and non-probationary clinical professors at least once every other year with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.

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

- to review the teaching of a faculty member not currently scheduled for review, upon that individual's request, to the extent that time permits. Reviews conducted at the request of the faculty member are considered formative only. The DOD Chair is informed that the review took place, but the report is given only to the faculty member who requested the review. Faculty seeking formative reviews should also seek the services of the Michael V. Drake Institute for Teaching and Learning.

Reviews conducted upon the request of the DOD Chair or the faculty member focus on the specific aspects of instruction requested by the DOD Chair or faculty member and may or may not include class visitations.

X Appendices

A. 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.