

**Appointments, Promotion, and  
Tenure  
Criteria and Procedures for  
The Ohio State University  
Department of Ophthalmology and  
Visual Sciences**

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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 chair and its faculty are subject.

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

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

All individuals considered for appointment, reappointment, promotion and/or tenure within the Department of Ophthalmology & Visual Sciences must have a record of excellence in teaching, research and scholarship, and service in accordance with the guidelines described in this document, and must also demonstrate conduct consistent with the [Statement on Professional Ethics](#) of the American Association of University Professors (Appendix B).

The Department of Ophthalmology & Visual Sciences endorses the University's recognition of the value of contributions by individual faculty members toward the realization of the overall mission of the institution. For example, within the Tenure Track there may be many different patterns of scholarly activity that reflect a range of faculty interests, skills, and accomplishments. These different patterns of performance may result in variation in emphasis between teaching, scholarship and service. Although faculty members may choose to place greater emphasis on certain aspects of scholarly activity, and less emphasis on others, the Department requires that the faculty member demonstrate excellence in all areas.

In addition, faculty members' activities may change over time, and thus may be consistent with different patterns of performance throughout the course of their careers. All of these different patterns of faculty activity will still lead to consideration for, and granting of, promotion and/or tenure, provided that the Department's standard of excellence in all areas (including demonstration of national or international impact and recognition) as appropriate to the faculty level, is met. It follows that the purpose of promotion to a senior faculty position and/or achievement of tenure is to recognize individual contributions and to build and maintain a strong university and departmental faculty that will enrich the academic fabric. This document outlines the individual milestones required for a faculty member to attain senior rank and/or tenure. It should be appreciated that these guidelines are not absolutely rigid, and there will arise the need for flexibility in the application of the standards to allow non-traditional faculty

members who have made unique and substantial contributions in innovation, leadership, team science, education and clinical care to be considered for promotion and tenure.

Decisions considering appointment, reappointment, and promotion and tenure will be in accordance with the university's [policy on equal employment opportunity](#).

## **II Department Mission**

The mission of the Department of Ophthalmology & Visual Sciences is to restore, preserve and enhance vision to improve lives for all.

The Department of Ophthalmology and Visual Sciences at The Ohio State University College of Medicine (COM) falls under four main areas - education, research, patient care, and service.

- Education: The educational responsibilities of the department include education of medical students, post-graduate (medical and non-medical degrees) students and fellows, and practicing physicians.
- Research: To make contributions to the advancement of the fund of knowledge in the field of vision related research is a major component of the mission of the department.
- Patient Care: To provide moral and ethical patient care of the highest quality at all times.
- Service: To perform service to the medical school, the university, and the community at large by participation of department members in the broad area of the department mission.

To achieve this mission, all faculty members are expected to participate in and contribute to the teaching, service, and research goals of the department in a manner that is consistent with the nature of their faculty appointment. Faculty members on the tenure-track are expected to have responsibilities in all aspects of the academic mission, and are expected to have a relative emphasis of their efforts on research or other scholarly accomplishments. Clinical faculty members are also expected to have responsibilities in all aspects of the academic mission, and are expected to have a relative emphasis on teaching and service. Research faculty members are expected to have an emphasis on scholarly accomplishments with a service component, but with no teaching requirement. Associated faculty's primary function is education and patient care, scholarly activity is encouraged. The department strives to enhance the quality of its endeavors by fostering the professional development and improvement of all faculty members.

Shared values are the commitments made by the College's community regarding how work will be conducted. Our values mirror those in the College of Medicine:

- Inclusiveness
- Determination
- Empathy
- Sincerity
- Ownership
- Innovation

## **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 Department of Ophthalmology and Visual Sciences.

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

## **1. Tenure-track Faculty**

### **Initial Appointment Reviews**

- Initial appointments, including those at senior rank (associate professor or professor), are made upon the recommendation of a search committee to the department chair or the individual who has commissioned the search, who then proceeds with an offer.
- For appointments at advanced rank, 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, the eligible faculty consists of all tenured associate professors and professors.
- For the promotion reviews of associate professors, the eligible faculty consists of all tenured professors.

## **2. Clinical Faculty**

### **Initial Appointment Reviews**

- Initial appointments, including those at senior rank (associate clinical professor or clinical professor), are made upon the recommendation of a search committee to the department chair or the individual who has commissioned the search, who then proceeds with an offer.
- For appointments at advanced rank, 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 and promotion reviews of clinical assistant 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 and promotion reviews of associate clinical professors, and the reappointment and reviews of clinical professors, the eligible faculty consists of all tenured professors, and all non-probationary clinical professors.

### 3. Research Faculty

#### Initial Appointment Reviews

- Initial appointments, including those at advanced rank (research associate professor or research professor), are made upon the recommendation of a search committee to the department chair or the individual who has commissioned the search, who then proceeds with an offer.
- For appointments at advanced rank, 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, Reappointment, and Contract Renewal

- The eligible faculty for new appointment reviews of **compensated associated faculty** consists of all tenure-track faculty whose tenure resides in the department, all clinical faculty whose primary appointment is in the department, and all research faculty whose primary appointment is in the department. **The recommendation to the department chair is the responsibility of the search committee.**
- Initial appointment of **uncompensated associated faculty** members is decided by the division chief (if applicable) in consultation with the department chair and requires the positive recommendation of the Promotion and Tenure Committee. The reappointment and contract renewal of associated faculty members require the approval of the Promotion and Tenure Committee.

Initial appointments at senior rank require a vote by the tenure-track faculty of equal or higher rank than the candidate, all non-probationary clinical faculty of equal or higher rank than the candidate, and all non-probationary research faculty of equal or higher rank than the candidate. Such appointments also require prior approval of the college.

#### Promotion Reviews (see also Section IV.A.4.g)

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

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

The promotion of a lecturer to senior lecturer is decided by the department chair in consultation with The Department of Ophthalmology and Visual Sciences 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. In addition, an individual who has had personal or professional conflicts with the candidate is ineligible to participate in the discussion and vote.

## **6. Minimum Composition**

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

## **B. Promotion and Tenure Committee**

The department has a Promotion and Tenure Committee, consisting of 3-5 professors and 2-4 associate professors, at least 3 of whom are tenure track faculty (and the remaining committee members may be non-probationary clinical and research faculty) that assists the Committee of the Eligible Faculty in managing the personnel and promotion and tenure issues. The committee's chair and membership are appointed by the department chair. The term of service is three years, with reappointment possible.

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

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

## **C. Quorum**



The quorum required to discuss and vote on all personnel decisions is a simple majority 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 are 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 the [SHIFT](#) Framework for faculty recruitment, search committees make their recommendations to the Department Chair. For those units that incorporate a faculty vote in their overall recommendation, a positive recommendation from the eligible faculty for appointment is secured when a simple majority (greater than 50%) of the votes cast is positive.
  - In the case of a joint appointment, the department must seek input from a candidate’s joint-appointment TIU 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, and promotion, is secured when a simple majority (greater than 50%) of the votes cast is positive.

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

#### **IV Appointments**

The Department is committed to making only faculty appointments that enhance or have strong potential to enhance the quality of the Department. Important considerations include the individual's record to date in teaching, 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 Department. No offer will be extended in the event that the search process does not yield one or more candidates who would enhance the quality of the Department. The search is either cancelled or continued, as appropriate to the circumstances.

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 (see Section IV.B).

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.

For appointment to a faculty position in the Department of Ophthalmology & Visual Sciences the candidate must demonstrate:

- Through clear and convincing evidence, that for the particular appointment, the criteria has been met or exceeded in teaching, scholarship, service, or program development. In the evaluation of the candidate for appointment, consideration is based on the overall academic achievement that encompasses some combination of all of the above areas of activity.
- The appointment will enhance, or have strong potential to enhance, the quality of the department.
- Has support for the appointment, demonstrated by a consensus within the department evidenced by an appropriate faculty review.
- Has obtained, and is expected to retain the appropriate licensure and medical staff appointments that are required in order to participate in patient-based teaching, research, and service activities.

## **A. Appointment Criteria**

### **1. Tenure-track Faculty**

The Tenure-track exists for those faculty members who primarily strive to achieve sustained excellence in the discovery and dissemination of new knowledge, as demonstrated by national and international recognition of their scholarship and successful competition for extramural funding such as that provided by the National Institutes of Health (NIH). Although excellence in teaching and outstanding service to Ohio State is required, these alone are not sufficient for progress.

Tenure-track appointments are made in accordance with University Rule [3335-6-02](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the 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 tenure-track appointments. The appointment process requires the Department to provide sufficient evidence in support of a Tenure-track faculty appointment so as to ensure that the faculty candidate has clearly and convincingly met or exceeded applicable criteria in teaching, scholarship, and service. [See Section VI of this document for examples]. Each candidate for appointment should undergo an appropriate faculty review by the Department.

At the time of appointment, probationary Tenure-track faculty members will be provided with all pertinent documents detailing Departmental, College of Medicine, 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 must obtain the appropriate Ohio licensure and other required certifications.

**a. Instructor of Ophthalmology & Visual Sciences 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 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.

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 eligible faculty, the department Chair, the Dean, and the Office of Academic Affairs. Faculty members should carefully consider whether prior service credit is appropriate since prior service credit cannot be revoked 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.
- 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 B].
- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the College of Medicine.

**b. Assistant Professor of Ophthalmology and Visual Sciences on the Tenure Track:**

An appointment to the rank of Assistant Professor is always probationary. During a probationary period a faculty member does not have tenure and is considered for reappointment annually. Tenure cannot be awarded at the rank of Assistant Professor. An Assistant Professor must be reviewed for promotion and tenure in the mandatory review year (6th year of appointment for faculty without clinical responsibilities, 11th year of appointment for faculty with significant patient clinical service responsibilities); 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 University Rule [3335-6-03](#).

Consistent with 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 eligible faculty, Department Chair, Dean, and Executive Vice President and Provost. Prior service credit shortens a probationary period by the amount of the credit and 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 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 B].
- In aggregate, accomplishments related to the above criteria should be sufficiently compelling that the appointee is judged to have significant potential to attain tenure and a distinguished record as a faculty member in the College of Medicine.

### **c. Associate Professor of Ophthalmology and Visual Sciences in Advance of Tenure**

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. For faculty without patient clinical service responsibilities the probationary period may not exceed four years. For faculty with significant patient clinical service responsibility, the probationary period may not exceed six years. Requests for such appointments require the approval of the department chair, Dean of the College of Medicine, and the Executive Vice President and Provost.

An appointment to the rank of Associate Professor without 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 without tenure are identical to the criteria for promotion to Associate Professor without Tenure, as detailed in Section VI of this document.

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

#### **d. Associate Professor of Ophthalmology and Visual Sciences with Tenure**

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

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

#### **e. Professor of Ophthalmology and Visual Sciences with Tenure**

Criteria for initial appointment to the rank of Professor with tenure are identical to the Department of Ophthalmology & Visual Sciences for promotion to Professor with tenure, as detailed in Section VII of this document.

Appointments at the rank of professor without tenure are not possible.

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

### **2.Clinical Faculty**

Clinical faculty members are equivalent in importance to the Department of Ophthalmology & Visual Sciences as the Tenure-track faculty. Clinical faculty appointments are for those faculty members whose principal career focus is outstanding teaching, clinical and translational research and delivery of exemplary clinical care. Clinical faculty members will generally not have sufficient protected time to meet the robust scholarship requirements of the Tenure-track within a defined probationary period. For this reason, the nature of scholarship for Clinical faculty differs from that in the Tenure-track and may be focused on a mixture of academic pursuits including the scholarship of practice, integration, education, as well as new knowledge discovery. Clinical faculty members may choose to distinguish themselves in teaching, innovative pedagogic program development, or patient-oriented research. Clinical faculty members may choose to distinguish themselves through several portfolios of responsibility including Clinician-Educator, Clinician-Scholar, and Clinical Excellence pathways.

The Clinician-Educator pathway reflects pedagogic excellence as measured by teaching evaluations and innovative teaching practices, modules and publications. The Clinician-Scholar pathway reflects excellence in translational science, clinical research and health services (e.g., health care policy and comparative effectiveness research) as measured by publications and grant funding, respectively. The Clinical Excellence pathway exists for faculty members who focus on exemplary clinical care, unique areas of emphasis in patient management, or outstanding service to a Department, the College of Medicine, and OSU. These faculty members typically devote 80% or more of their effort to patient care or administrative service. Clinical faculty members are not eligible for tenure and may not participate in promotion and tenure matters of tenure-track faculty.

All appointments of clinical faculty members are made in accordance with Chapter 7 of the Rules for University Faculty [3335-7](#). Each new appointment must enhance, or have strong potential to

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

Contracts will be for a period of at least three years and for no more than five years. The initial contract is probationary, must be for five years, and a faculty member will be informed by the end of each probationary year if they will be reappointed for another year. By the end of the penultimate year of the probationary contract, the faculty member will be informed as to whether a new contract will be extended. In the event that a new contract is not extended, the final year of the probationary contract is the terminal year of employment. If the department wishes to consider contract renewal, a formal review of the faculty member is required in the penultimate year of the current contract period. There is no presumption that a new contract will be extended. In addition, the terms of the contract may be renegotiated at the time of reappointment.

Furthermore, each appointee must obtain the appropriate Ohio licensure and other required certifications, including medical staff privileges if required for execution of faculty duties. The following paragraphs will outline the basic criteria for initial appointments.

#### **a. Clinical Instructor**

Appointment to the rank of Clinical Instructor is made if all of the criteria for the position of Assistant Clinical Professor have been met with the exception that the candidate will not have completed the terminal degree, or other relevant training, at the time of the appointment. When an individual is appointed as an Instructor, the letter of offer should indicate the specific benchmarks and accomplishments that will be necessary for promotion to Assistant Professor.

Instructor appointments are limited to three years. If the instructor has not completed requirements for promotion to the rank of assistant professor by the beginning 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.

When an Instructor is promoted to Assistant Clinical Professor, a new letter of offer with a probationary period of three to five years will be issued. Candidates for appointment to the rank of Instructor will have, at a minimum:

- Anticipated receipt of an earned doctorate or other terminal degree in the relevant field of study.
- Evidence of potential for contributions to scholarship as demonstrated by activities such as publications or presentation of abstracts as primary or secondary author. The individual may not as yet have demonstrated substantial evidence of independent contributions as reflected by first author publications and/or presentations.
- Post-doctoral clinical training in an appropriate area.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix B].

#### **b. Assistant Clinical Professor**

The initial appointment to the rank of Assistant Clinical Professor is always probationary. During a probationary period a faculty member is considered for reappointment annually. An Assistant Clinical Professor may be reviewed for promotion at any time during the probationary period or during a subsequent contract.

This is the appropriate level for initial appointment of persons holding the appropriate terminal degree and the relevant clinical training, who are expected to be involved in full time teaching and clinical service, with more limited contribution to scholarship. This is also the appropriate level for persons assigned major clinical responsibilities who plan to engage principally in the education or clinical and translational science research or health service research. Candidates for appointment at this rank are expected to have completed all relevant training, including residency and fellowship where appropriate, consistent with the existing or proposed clinical program goals of the Department.

Candidates for appointment to the rank of Assistant Clinical Professor will have, at a minimum:

- An earned doctorate or other terminal degree in the relevant field of study or possession of equivalent experience; and completion of requisite post-doctoral clinical training.
- Evidence of scholarship as demonstrated by activities such as presentation of abstracts or peer reviewed articles as primary, secondary, or corresponding author; or educational or clinical program development leadership; or involvement or leadership in quality or operations initiatives; and potential to advance through the faculty ranks.
- A mindset and track record reflecting adherence to standards of professional ethical conduct consistent with the “Statement on Professional Ethics” by the American Association of University Professors [see Appendix B].

### **c. Associate Clinical Professor**

The criteria for initial appointment at the rank of Associate Clinical Professor are identical to those criteria for promotion to this rank as outlined in Section VII of this document.

### **d. Appointment: Clinical Professor**

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

## **3. Research Faculty**

Research appointments exist for faculty members who focus entirely on research. These appointments are intended for individuals who will have faculty level responsibilities in the research mission, comparable to the level of a Co-Investigator. Individuals who serve as laboratory managers or otherwise contribute to the research mission at a level comparable to that of a postdoctoral fellow should not be appointed on the research faculty but rather should be appointed as research scientists, potentially with associated faculty appointments (postdoctoral fellows are appointed as postdoctoral researchers). 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 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.

Tenure is not granted to research faculty.

Research appointments are made in accordance with Chapter 7 of the Rules of the University Faculty [3335-7](#). Each new appointment must enhance, or have strong potential to enhance, the quality of the Department. Unless otherwise authorized by a majority vote of the Tenure-track faculty in a department, Research faculty must comprise 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.

Contracts will be for a period of at least one year and for no more than five years, and must explicitly state the expectations for salary support. In general, research faculty appointments will require 95% salary recovery. It is expected that salary recovery will be entirely derived from extramural funds. The initial contract is probationary, and a faculty member will be informed by the end of each probationary year as to whether he or she 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 also are eligible to advise and supervise graduate and postdoctoral students and to be a principal investigator on extramural research grant applications. Approval to advise and supervise graduate students must be obtained from the graduate school as detailed in Section 1.5 of the [Graduate School Handbook](#).

#### **a. Research Assistant Professor**

A candidate for appointment to the research faculty should have a demonstrated record of research expertise at a local or regional level and have 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 B]. Strong potential for career progression and advancement through the faculty ranks.



**b. Research Associate Professor**

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

**c. Research Professor**

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

**4. Associated Faculty**

The appointment of compensated associated faculty members follows a formal search following the [SHIFT](#) Framework, which includes a job posting in [Workday](#) (see Section IV.B) and candidate interviews. The appointment is then decided by the department chair based on recommendation from the search committee. The reappointment of all compensated associated faculty members is decided by the department chair following a vote of the eligible faculty.

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

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

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

Associated Faculty, as defined in the Rules of the University Faculty [3335-5-19](#) include “persons with adjunct titles, clinical practice titles, visiting titles, and lecturer titles,” plus “professors, associate professors, assistant professors, and instructors who serve on appointments totaling less than fifty per cent service to the university.” Associated faculty are not eligible for tenure, may not vote at any level of governance, and may not participate in promotion and tenure matters.

At a minimum, all candidates for associated faculty appointments must meet the following criteria:

- Clinical practice faculty with clinical responsibilities must be licensed physicians or health care provider.
- Have significant and meaningful interaction in at least one of the following mission areas of the College of Medicine:
  - a. Teaching of medical students, residents, or fellows: For community physicians providing outpatient teaching of medical students, meaningful interaction consists of supervising medical students for at least one month out of the year.
  - b. Research: These faculty members may collaborate with a Department or Division in the College in research projects or other scholarly activities.
  - c. Administrative roles within the College: This includes participation in committees or other leadership activities (e.g., membership in the

Medical Student Admissions Committee).

Below are titles are used for associated faculty:

**a. Adjunct Assistant Professor, Adjunct Associate Professor, Adjunct Professor**

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

**b. Clinical Instructor – Practice; Clinical Assistant Professor – Practice; Clinical Associate Professor – Practice, Clinical Professor - Practice**

This category of Associated faculty will have a compensated (paid) appointment at OSU, OSUP (Ohio State University Physicians, Inc.), or Nationwide Children's Hospital (NCH) and requires a faculty appointment (e.g. for clinical credentialing or teaching a course). They may have another paid appointment at OSU (e.g. physician), but their faculty appointment can be unpaid. This may be appropriate to use for faculty appointments that are expected to be less than three years or for faculty who are paid through OSU, OSUP or NCH but are 100% deployed in the community. Associated clinical-practice rank is determined by applying the criteria for appointment of clinical faculty. Associated practice faculty members are eligible for promotion (but not tenure) and the relevant criteria for compensated practice faculty are those for promotion of clinical faculty.

**c. 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.

**d. 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.

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

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

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

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

**Associated Faculty at Advanced Rank**

By definition, Associated Faculty members are appointed for up to three years at a time. As such, associated faculty are not eligible for traditional promotion, but they are eligible to be reappointed at the next rank. Appointment or reappointment at advanced rank should evidence excellence in a specific aspect of the Department of Ophthalmology & Visual Sciences mission. All new appointments at advanced rank require a review and vote of the eligible faculty, an evaluation by the department chair, and an evaluation letter from a person that can attest to the faculty member's primary contribution in clinical care, teaching or scholarship.

#### I. ASSOCIATE PROFESSOR

Teaching and Mentoring: For associated faculty members whose principal focus is teaching and mentoring, benchmarks for appointment or reappointment at advanced rank include sustained excellence in reviews by students and residents supervised by the faculty member, teaching awards, introduction of students to new modes of practice or patient populations not previously available to learners, participation or leadership in curriculum development.

Scholarship: For associated faculty members whose principal focus is scholarship, benchmarks include participation in research projects, programs, or other scholarly activity that result in enhanced regional recognition of the College through publications, funded programs, or other means. Presentations at regional meetings or leadership or participation in regional organizations dedicated to the faculty member's area of focused scholarship serve as further indicators of advancement to this rank. Although a record of publication is not an expectation for associated faculty, publications or other forms of dissemination of scholarship (e.g., web-based documents, other electronic media) are valued and contribute to advancement in rank. This is particularly true for faculty who are appointed based on their collaboration in research or other scholarly activities. Publications may be of various types and are not required to be first or senior authored.

Leadership and Administration: For associated faculty members whose principal focus is service, benchmarks may include the faculty member's membership and participation on committees or other leadership groups. Leadership of subgroups within a committee, such as a writing group, or supervision of a task force is another example of such benchmarks. There must be a sustained commitment to leadership and administration rather than a single interaction with a College or Medical Center committee or leadership group.

#### II. PROFESSOR

Appointment or Reappointment of an associated faculty member to the rank of Professor is based not only on sustained contributions in the faculty member's area of focus but on a more advanced stage of leadership or greater sphere of impact than that of an Associate Professor.

Teaching and Mentoring: For associated faculty members whose principal focus is teaching and mentoring, faculty appointed or reappointed to the rank of Professor will not only have the accomplishments of an Associate Professor but will also attain broader recognition for contributions through curriculum development and recognition of excellence in education. This may come in the form of regional and national teaching awards, membership and leadership in national organizations and meetings dedicated to medical education, adoption of

teaching innovations and curricula introduced by the faculty member to institutions outside the College of Medicine, and invitations to speak at outside institutions. Although publications are not an expectation, publications or web sites conveying the faculty member's innovations will serve as an indication for dissemination of innovation outside the College.

Scholarship: For faculty members whose principal focus is scholarship, the scholarly contributions of associated faculty appointed or reappointed to the rank of Professor will exceed the scope of those at the rank of Associate Professor. Benchmarks include participation in research projects, programs, or other scholarly activities that result in enhanced national recognition of the College through publications, funded programs, or other means. Authorship or co-authorship of manuscripts and participation in nationally funded programs of research are examples of benchmarks for those achieving this rank. Presentations at national meetings and membership or leadership in national organizations dedicated to the faculty member's focus of scholarship are further benchmarks.

Leadership and Administration: For associated faculty members whose principal focus is service, the faculty member appointed or reappointed to the rank of Professor will progress to senior leadership roles in the College or Medical Center. This may consist of serving as chair of committees that contribute to the growth in excellence of the College or which have made fundamental and innovative changes in College procedures, practice or culture. There must be a record of sustained senior leadership rather than a single interaction with a College or Medical Center committee or leadership

## **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 department 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 department head. The department 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 [3335-05-04](#), emeritus status will not be considered.

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

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

## **6. Courtesy Appointments for Faculty**

A non-salaried appointment for a tenure-track, clinical, or research University faculty member from another department is considered a Courtesy appointment. An individual with an appointment in one department may request a Courtesy appointment in another department when

that faculty member's scholarly and academic activity overlaps significantly with the discipline represented by the second unit. Such appointments must be made at the same faculty rank, using the same title, as that offered in the primary department. Courtesy appointments are warranted only if they are accompanied by substantial involvement in the academic and scholarly work of the Department.

## **B. Appointment Procedures**

The appointment of all compensated tenure-track, clinical, research, and associated faculty, irrespective of rank, must be based on a formal search process following the [SHIFT](#) Framework for faculty recruitment.

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

The Department Chair or the individual who has commissioned the search appoints a search committee, usually consisting of three or more faculty members who reflect the field of expertise that is the focus of the search, 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 the offer involves senior rank (associate professor or above), solicitation of external letters of evaluation are required and follow the same guidelines as for promotion reviews. The eligible faculty members vote on the appropriateness of the proposed rank. If the offer may involve prior service credit, the eligible faculty members vote on the appropriateness of such credit. The eligible faculty reports a recommendation on the appropriateness of the proposed rank or the appropriateness of prior service credit to the Department 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 University Office of Academic Affairs.

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

The department is advised to discuss potential appointment of a candidate requiring sponsorship for permanent residence or nonimmigrant work-authorized status with the Office of International Affairs. An [MOU](#) must be signed by faculty eligible for tenured positions who are not U.S. citizens or nationals, permanent residents, asylees, or refugees.

## **2. Clinical Faculty**

Searches for clinical faculty should be undertaken with adherence to the general guidelines described above for Tenure Track faculty, except that the candidate is not required to give a presentation during the on-campus interview. A national search is required to ensure a broad pool of highly qualified candidates for all clinical faculty positions. Individuals with a clear commitment to service and teaching should be selected. The composition of the search committees shall be comparable to those for tenure-track faculty.

## **3. Research Faculty**

Searches for research faculty should be undertaken with adherence to the general guidelines described above for tenure-track faculty, except that the candidate is not required to make a presentation during the on-campus/virtual interview. Individuals with a clear and focused commitment to research, publication and grantsmanship should be selected.

Prior evidence of the commitments is strongly encouraged. Interest in teaching and service are secondary considerations. The composition of the search committees shall be comparable to those 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 is lost upon transfer, and transfers must be approved by the

department chair, the college dean, and the executive vice president and provost.

Transfers are permitted only under the strict guidelines detailed in the paragraphs below, per Faculty Rules [3335-7-09](#) and [3335-7-10](#). Furthermore, transfer of an individual to a faculty title with more limited expectations for scholarship may not be used as a mechanism for retaining underperforming faculty members. Engaged, committed, productive faculty should be the ultimate goal of all appointments.

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

The new letter of offer must outline a new set of expectations for the faculty member aligned with the new responsibilities. Presumably, these will differ from prior expectations.

### **5. Associated Faculty**

Uncompensated associated faculty appointments in the Department of Ophthalmology & Visual Sciences at the levels of clinical instructor, clinical assistant professor, clinical associate professor, and clinical professor will not require formalized search processes. The existing guidelines for the involvement of community surgeons within the Department of Ophthalmology & Visual Sciences should be utilized as general principles. Offers of these faculty appointments should be primarily the purview of the division chief (if applicable) in consultation with the Chair. These appointments shall require the approval of the Department Promotion and Tenure Committee for initial appointment and annual renewal.

### **6. Courtesy Appointments for Faculty**

Any department faculty member may propose a 0% FTE (Courtesy) appointment for a faculty member from another OSU department. A proposal that describes the uncompensated academic service to the courtesy department justifying the appointment must be considered at a regular faculty meeting. The Chair must review all courtesy appointments every three years to determine whether they continue to be justified, may take recommendations for nonrenewal from the faculty, and must conduct a vote at a regular meeting. A courtesy faculty appointment forwarded from a Department for approval by the College must have been made consistent with that Department's Appointments, Promotion and Tenure document, and other relevant policies, procedures, practices, and standards established by the [Rules of the University Faculty](#), the Office of Academic Affairs, and the Office of Human Resources.

## **V Annual Performance and Merit Review**

The Department 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.

The annual performance and merit review of every faculty member is based on expected performance in teaching, scholarship, and service as set forth in the department'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 department 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 Department chair no later than the June 1:

- Office of Academic Affairs dossier outline, [Policies and Procedures Handbook](#), Volume 3 (*required for probationary faculty*)
- Annual Faculty Review Report Template (*all faculty*)
- Updated CV (*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 Chair or their designee, who meets with the faculty member to discuss their performance and, future plans and goals; and prepares a written evaluation that includes a recommendation on whether to renew the probationary appointment.

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



chooses).

If the department Chair recommends nonrenewal, the Fourth-Year Review process (per Faculty Rule [3335-6-03](#)) 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 exception that external evaluations are optional and the dean makes the final decision regarding renewal or nonrenewal of the probationary appointment.

External evaluations are solicited only when either the Department chair or the eligible faculty determine that they are necessary to conduct the Fourth-Year Review. This may occur when the candidate's 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 department 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 department 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 department chair recommends renewal or nonrenewal.

### **2. Eighth Year Review**

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

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

Faculty Rule [3335-6-03](#) 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 to be reviewed annually by the Department Chair or their designee. The department chair or designee meets with each faculty member to discuss their performance and future plans and goals; and prepares a written evaluation in narrative format. The faculty member may provide written comments on the review.

Professors are reviewed annually by the Department 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 department, 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 Department 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.

In the penultimate year of a clinical faculty member's appointment, a formal performance review is necessary to determine whether the faculty member will be offered reappointment. This review proceeds identically to the Fourth-Year Review procedures for tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract. 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.

#### **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.

In the penultimate year of a research faculty member's appointment, a formal performance review is necessary to determine whether the faculty member will be offered reappointment. This review proceeds identically to the fourth-year review procedures for tenure-track faculty. External letters of evaluation are not solicited. There is no presumption of renewal of contract. 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.

#### **F Associated Faculty**

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

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

## **G. Salary Recommendations**

Except when the university dictates any type of across-the-board salary increase, all funds for annual salary increases are directed toward rewarding meritorious performance and assuring, to the extent possible given financial constraints, that salaries reflect the market and are internally equitable and subject to the Faculty Group Practice (FGP) Compensation Plan as appropriate.

Meritorious performance in teaching, scholarship, and service are assessed in accordance with the same criteria that form the basis for promotion decisions. The time frame for assessing performance will be the past 24 months, with attention to patterns of increasing or declining productivity. Faculty with high-quality performance in all three areas of endeavor and a pattern of consistent professional growth will necessarily be favored. Faculty members whose performance is unsatisfactory in one or more areas are likely to receive minimal or no salary increases.

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

Each faculty member must undergo an annual review utilizing the principles outlined above. The Department Chair will compare the faculty member's performance to stated expectations and to those recorded in the relevant Appointments, Promotion and Tenure document, and then determine an appropriate level of merit salary increase (if any). Other rewards will be determined in a similar manner.

## **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.*

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 and College of Medicine initiatives. Examples include participation in faculty governance, outreach and service, ethical behavior, adherence to principles of responsible conduct of research, constructive conduct and behavior during the discharge of duties, responsibilities and authority, and the exercise of rights and privileges of a member of the faculty as reflected in the “[Statement of Professional Ethics](#)” of the American Association of University Professors (Appendix B).

## 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 service is required, but alone is not sufficient for promotion and awarding of tenure. These three key areas of achievement: scholarship, teaching and service, are individually discussed below.

**Scholarship:** Demonstration of national recognition and impact for a thematic independent program of scholarship is an essential requirement for promotion to Associate Professor and the award of tenure. Independence must be reflected in the record of scholarship (e.g., reflected by dissemination of new knowledge evidenced by publications and extramural funding). Scholarship is broadly defined as the discovery and dissemination of new knowledge. Achievement of excellence in scholarship is demonstrated by a substantial body of original knowledge that is published in high quality, peer-reviewed journals or proceedings, and achievement of a national reputation for expertise and impact in one’s field of endeavor. Such endeavors might include laboratory investigation, development of innovative programs, theoretical insight, innovative interpretation of an existing body of knowledge, clinical science, public health and community research, implementation science, and diffusion research, among many potential others. While individual circumstances may vary, both the quantity and quality of publications should be considered. Metrics that are useful in assessing a candidate’s record of scholarship include but are not limited to the total number of publications since their appointment as an assistant professor, the number of citations of their publications, the trajectory of the publication and/or citation record, the relative proportion of first/senior authorships

A sustained record of scholarly productivity, reflected by both quality and quantity, as an assistant professor is required for promotion to the rank of associate professor. Candidates for

promotion to associate professor should ideally have 10-15 peer-reviewed publications, with a mean impact factor of 1 to 5, since their appointment as an assistant professor. An H-index of 10 or more are recommended for candidates for promotion associate professor. It is expected that the pattern of scholarship will include an increasing proportion of publications as first, senior or corresponding author. Specific metrics in support of excellence in scholarship may be discipline-specific and may be adjusted based on the overall pattern of responsibilities. For example, 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.

The dossier will require the demonstration of impact, not just the potential for impact. Although review articles may form a portion of the publication list (typically less than 30%), and may be used to indicate that a faculty member is considered to be an expert in the field, a successful dossier will contain primarily peer-reviewed research articles; book chapters or reviews alone or in majority will not be sufficient for promotion. Considered together, demonstration of impact and a national reputation of an independent program of research is important for promotion to Associate Professor and awarding of tenure. Participation in collaborative, multidisciplinary research and team science is highly valued. In cases where a faculty member's collaborative scholarship results primarily in middle authorship, the recognition and impact of their scholarship will be reflected through other indicators such as, but not limited to, the indispensability of the candidate's role and contribution in generating the publication(s), invitations to serve on editorial boards, study sections, national invitations to speak, etc.

Evidence of sustained or multiple grant support is another important indicator of expertise in the field. Candidates for promotion to associate professor with tenure who are without significant clinical responsibilities must have obtained significant funding (NIH is preferred) as a principal investigator (PI) or Multiple Principal Investigator (MPI) on a R01, P01, U54, or have obtained a mid-career K award or other comparable funding. They should ideally have demonstrated sustainability of their research program by renewal of the NIH award and/or by garnering a second distinct NIH grant and/or another nationally competitive, peer reviewed grants. The latter may include support from prominent charitable foundations (e.g., Ohio Lions Eye Research Foundation, Columbus Foundation, BrightFocus Foundation, etc.), a major industry grant, or other federal entities such as the AHRQ, Centers for Disease Control and Prevention, Department of Defense and the National Science Foundation. In some circumstances, (e.g. specific techniques) faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple NIH grants will satisfy the requirement for extramural funding.

Candidates for promotion will be expected to have developed and maintained nationally competitive and peer reviewed extramural funding to support their research program. At a minimum, basic science candidates for promotion to associate professor should be a PI or multiple-PD/PI on at least one NIH funded R01 or equivalent grant. For clinician scientists seeking promotion to associate professor accommodation should be made in their grant requirements based on their clinical duties.

Entrepreneurship is a special form of valued scholarship. Entrepreneurship includes patents and licenses of invention disclosures, software development, and materials transfers technology and 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 revenue 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:** Teaching excellence is most commonly demonstrated through evaluations and peer feedback based on presentations at Ohio State or other academic institutions, presentations or tutorials at scientific conferences or meetings, presentations at other medical centers or hospitals, or as a recipient of teaching awards. 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.

**Service:** Service includes administrative service to OSU, excellent patient care if applicable, 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, but is not limited to, appointment or election to Department, College of Medicine, hospital, and/or University committees or mentoring activities. Evidence of professional service to the faculty member's discipline can include journal editorships or editorial board membership, 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: reviewers of proposals, external 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.

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 to 50% clinical commitment might reduce the required number of publications and H index by 25%.

Publication in specialized clinical journals would reduce the impact factor requirement.

However, 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 as a prerequisite to tenure and/or strong publication record coupled with clear evidence of a national reputation for clinical excellence and innovation. Similar accommodations can be made on the basis of educational commitments.

## **2. Promotion to Associate Professor in advance of Tenure**

Criteria for promotion to Associate Professor in advance of tenure will require a level and pattern of achievement that demonstrates that the candidate is making significant progress toward tenure, but has not yet achieved all the requisite criteria for promotion with tenure. This department may propose a faculty member for promotion consideration (without tenure) in cases where a faculty member is making progress but has not achieved the necessary requirements for tenure. In addition, faculty committees (at the Department or College) or administrators (Chair or Dean) may determine that a faculty member's accomplishments do not merit tenure and may recommend promotion without tenure even if a faculty member has requested promotion with tenure. Promotion without tenure may only occur if a candidate is not in the mandatory review year. If a clinician candidate is promoted without tenure, the tenure review must occur within six years, and no later than the mandatory review year, whichever comes first.

**Scholarship:** Qualitative indicators consistent with promotion without tenure might include an advancing record of scholarly excellence that demonstrates substantial progress toward meeting

the scholarship expectations for the award of tenure. This may be demonstrated by a guideline of 8 – 12 publications since appointment to assistant professor (with an average impact factor of 1 – 5 or an H-index of 10 or above) in high quality peer-reviewed journals, evidence of emerging external recognition, and progress toward an extramurally supported research program. An example might be clear evidence of escalating productivity late in the interval of probationary status, indicating acquisition of momentum that will propel the candidate toward the sustained record of productivity required for promotion. Publications in journals of lesser impact that reflect the preliminary stages of development of a research career, or a predominance of publications in which the candidate is not first or senior author are also examples.

Criteria for a promising trajectory in extramural funding might be reflected by PI on an R21, R03, K Award, or co- investigator on a R01 (or equivalent); or patent/inventorship. Evidence of an emerging national recognition might include invitations to lecture at statewide or regional institutions or scientific meetings. Although the quality of scholarship is of the utmost importance, quantity is also important, and the record of accomplishment should demonstrate discovery of a substantial body of important, new knowledge.

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

**Teaching and Mentoring:** Indicators of teaching consistent with promotion in advance of tenure might include a record of teaching excellence involving a single group of trainees, a clear trend of improving teaching evaluations, or divisional (as opposed to department or college-wide) teaching awards. 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 Department or College or University committees. This could also include leadership roles in professional societies or ad hoc NIH study section membership or national society committee work. This might also include activities as an ad hoc reviewer for journals, or service on the advisory board for local organizations.

For clinicians seeking promotion in advance tenure substantial accommodation should be made for the time devoted to clinical practice as reflected in percent effort or average RVUs/FTE. However, for clinicians with 25 to 50% clinical activity evidence of at least co-investigator status in one of the grant categories listed above is a recommendation. For clinicians with > 50% clinical activity a strong publication record with emerging national reputation may be sufficient for promotion. Similar accommodations can be made on the basis of educational commitments.

### **3. Promotion to Professor with Tenure**

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 clear and unambiguous 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. Demonstration of sustained national leadership and/or international recognition and impact is required for promotion to professor. It is expected that the faculty member will have a consistent record of high-quality publications with demonstrated impact well beyond that required for promotion to associate professor.

**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. A total of 30-50 papers with a mean impact factor of 1 to 5 or an H- index of 20 or more are recommended for candidates for promotion to professor, and they should ideally have 15-25 peer-reviewed publications since their promotion to associate professor. Examples of clear evidence of an international reputation include, but are not limited to: 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 or invitation(s) for ad hoc grant review, peer recognition or awards for research, invited national or international presentations, or editorships, members of editorial boards or 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. At a minimum, basic science candidates for promotion to professor should 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. While NIH funding is preferred, equivalent funding can include other federal sources (e.g. CDC, NSF, DoD, USDA, AHRQ, DARPA), major foundation (e.g., Ohio Lions Eye Research Foundation, Columbus Foundation, BrightFocus Foundation, etc.), or major industry grants could substitute. In some circumstances, (e.g. specific techniques) faculty member's expertise may not justify PI level status. In such cases serving as a co-investigator on multiple NIH grants will satisfy the requirement for extramural funding. For clinician scientists seeking promotion to professor accommodation should be made in their grant requirements based on their clinical duties.

Entrepreneurship is a special form of valued scholarship. Entrepreneurship includes patents and licenses of invention disclosures, software development, and materials transfers technology and 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 revenue 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 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, and organization of national course and curricula and participation in specialty boards or Residency Review Committees of the Accreditation Council for Graduate Medical Education. Active participation as a mentor in training grants such as NIH T32 or K-awards is highly valued as a teaching and mentoring activity.

Mentorship of junior faculty may also demonstrate teaching excellence. This can take the form of a primary mentoring relationship or ad hoc mentoring. Candidates may provide evidence of mentoring relationships by providing mentees' evaluations.

**Service:** Promotion to the rank of Professor requires service with distinction to the COM, OSU, and in national/international professional societies. Service can include leadership roles on OSU committees, in professional organizations or journal editorships or editorships/service on editorial boards. 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.

For clinicians 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 to 50% clinical effort evidence of at least co-investigator status in one of the grant categories listed above is a recommendation 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.

#### **4. Promotion of Clinical Faculty**

Clinical faculty members have a greater responsibility for clinical teaching, patient care, and clinical scholarship than individuals 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, although there is greater emphasis on teaching, service and patient care, and less emphasis on traditional scholarship.

Clinical Faculty members may continue their service to the Department 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 College and the University are best served when all faculty members strive for continued improvement in all academic areas as measured by meeting or exceeding the requirements for promotion to the next faculty rank.

The awarding of promotion to the rank of Associate Professor in the Clinical faculty must be based upon clear and convincing evidence that the candidate has developed a national level of impact and recognition since being appointed to the rank of Assistant

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

**a. Associate Professor, Clinician Educator Pathway**

The awarding of promotion to the rank of Associate Professor on the Clinician-Educator Pathway should be based upon clear and convincing evidence that the candidate has established a national level of impact and recognition since being appointed to the rank of Assistant Professor. Evidence of national recognition and impact should be related to the primary focus of this pathway (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 demonstrated record of educating colleagues and peers, such as through invitations to serve as faculty on national continuing medical education programs.

**Scholarship:** The candidate must demonstrate contributions to scholarship, a portion of which should be peer-reviewed journal publications or scholarly presentations, scholarly review articles and/or web-based or video teaching modules since being appointed to assistant professor. Candidates must demonstrate the impact of their scholarship. Faculty in the Clinician Educator Pathway may focus on the pedagogy of education and publish or present 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. Alternatively, other faculty members in the Clinician Educator Pathway may publish or present works based on their areas of clinical expertise which form the basis for their teaching of colleagues and peers. These may include, but are not limited to review papers, book chapters as well as original investigator-initiated studies related to their area of clinical practice. Some faculty members may combine these two areas of career emphasis. For both types of faculty careers, development of web-based or video-teaching modules and other digital media are considered to be published works. In the current era of team and collaborative scholarship, it is recognized that meaningful scholarship is not uniformly represented by first or senior authorship. Works in which the faculty member's individual and identifiable expertise was essential to the publication are regarded as having merit equivalent to those that are first or senior author. A range of 5-10 scholarly written, digital publications or scholarly presentations of this type since appointment as an assistant professor, is suggested as a scope of work consistent with promotion to associate professor. However, this range does not represent an inflexible requirement for promotion.

**Teaching and Mentoring:** A strong and consistent record of effective teaching and mentoring is required for promotion. Effectiveness may be measured by various metrics including, but not limited to curriculum/web-based design and implementation, innovative teaching practices, modules, and publications. Evidence of consistently positive teaching evaluations by students, trainees, and peers is important. Peer evaluation is important 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 important. Programs that improve the access to teaching for underserved populations are particularly valued.

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

#### **4b. Professor, Clinician Educator Pathway**

The awarding of promotion to the rank of Professor on the Clinician-Educator pathway must be based upon clear and convincing evidence that the candidate has developed a national level of impact and recognition since being appointed to the rank of Associate Professor. Evidence of international recognition or national leadership should be related to the primary focus of the pathway (clinical or didactic education), but can also be related to clinical, scholarship activities, or professional service. Excellence is not required in all domains.

**Scholarship:** The candidate must demonstrate contributions to scholarship, including 10-20 peer-reviewed journal publications or scholarly presentations, scholarly review articles and/or web-based or video teaching modules since being appointed to associate professor. Candidates must demonstrate the impact of their scholarship. Faculty in the Clinician Educator Pathway may focus on the pedagogy of education and publish or present in this domain. Examples include but are not limited to papers regarding innovative teaching techniques, scholarly review articles and book chapters focused on education theory, new curricula and methods of evaluation or clinical community based educational efforts. Alternatively, other faculty members in the Clinician Educator Pathway may publish works based on their areas of clinical expertise which form the basis for their teaching of colleagues and peers. These may include, but are not limited to, review papers, book chapters as well as original investigator-initiated studies related to their area of clinical practice. Some faculty members may combine these two areas of career emphasis. Development of web-based or video-teaching modules and other digital media are considered to be published works. In the current era of team 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 10-20 scholarly written or digital publications or scholarly presentations of this type since appointment or promotion as an associate professor is suggested as a scope of work consistent with promotion to professor. However, this range does not represent an inflexible requirement for promotion.

**Teaching and Mentoring:** A documented record of sustained teaching and mentoring excellence is important for promotion. Candidates must demonstrate the impact of their teaching and mentoring. Sustained positive evaluations by students, residents, fellows, local colleagues and/or national peers are important. Multiple teaching awards and other

honors are indicative of this level of teaching excellence but are not required. Candidates must demonstrate favorable impact on teaching and training programs, such as curriculum/web-based innovation, new teaching modalities or methods of evaluating teaching, and/or program or course development. Other examples include the development of multiple impactful, innovative programs that integrate teaching, research and patient care, as well as course director at a national or international level; and/or novel teaching innovation and/or OSU educational project. Programs that access to teaching for underserved populations are particularly valued. Teaching excellence may also be demonstrated through committee appointments in national education committees such as Accreditation Council for Graduate Medical Education, National Medical Association, American Association of Higher Education, Association of American Colleges and Universities or Association of American Medical Colleges, including specialty boards or professional societies at national level.

Mentorship of junior faculty may also demonstrate teaching excellence. This will take the form of a primary mentoring relationship or ad hoc mentoring. Candidates may provide evidence of mentoring relationships by providing mentees' evaluations.

**Service:** Service to the institution and profession is an expectation for promotion to professor. Service is broadly defined to include administrative service to the University, patient care, program development relating to clinical, administrative, leadership and related activities, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. Professional service could include, but is not limited to, peer reviews of manuscripts and grant applications, serve on editorial boards, development of innovative programs that advance the mission of the university, such as creation and sustenance of a program to deliver healthcare to the community, and leadership positions in professional societies. In addition, invitations to serve as external evaluators for promotion candidates from peer institutions is a reflection of national reputation.

#### **4c. Associate Professor, Clinician Scholar Pathway**

The awarding of promotion to the rank of Associate Professor on the Clinician-Scholar pathway must be based upon convincing evidence that that the candidate has developed a national level of impact and recognition since being appointed to the rank of Assistant Professor.

**Scholarship:** The candidate must demonstrate contributions to scholarship as reflected by primary or senior 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. For example, 5-10 peer reviewed publications including multi-center clinical trial papers, since appointment of assistant professor. Again, 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 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 federally-funded studies. Entrepreneurship and inventorship are also evidence of scholarly activity.

**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 may 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.

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

#### **4D. Professor, Clinician Scholar Pathway**

The awarding of promotion to the rank of Professor on the Clinician-Scholar pathway must be based upon convincing evidence that the candidate has developed a national or international level of recognition or national leadership since being appointed to the rank of Associate Professor.

**Scholarship:** The candidate must demonstrate contributions to scholarship as reflected by primary or senior 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 or national reputation for clinical innovation. For example, 8-12 peer review publications in journals, including multi-center clinical trial papers, since being promoted to associate professor are a general guideline. 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 members should ideally have been a participant on a major peer reviewed grant or co-investigators on NIH, Pharma, or national clinical trials or other national grants. Entrepreneurship and inventorship are also evidence of scholarly activity.

**Teaching and Mentoring:** A record of teaching excellence as an Associate Professor is important to justify promotion to the rank of Professor. The faculty member may have made unique and impactful contributions to the teaching mission as an Associate Professor. The faculty members may have positive lecture evaluations from a local and/or national audience. 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.

Mentorship of junior faculty may also demonstrate teaching excellence. This may take the form of a primary mentoring relationship or ad hoc mentoring. Candidates may provide evidence of mentoring relationships by providing mentees' evaluations.

**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, COM, hospital, and/or University committees or mentoring activities. Promotion to the rank of Professor may include service to the College of Medicine, OSU, or in a national context. The faculty member may have made new and impactful service contributions as an Associate Professor. Candidates may 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.

#### **4E. Associate Professor, Clinical Excellence Pathway**

In the circumstance where individuals are assigned major responsibilities (80% time or greater) for clinical care and clinical administrative activities, faculty members may seek promotion for excellence in activities categorized as “scholarship of practice” (or “scholarship of application”). 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 Medical Center or their assigned hospital. For these individuals, their contribution to the regional and national recognition of the Medical Center may serve as a proxy for individual national recognition

The awarding of promotion to the rank of Associate Professor on the Clinical Excellence Pathway for individuals with heavy clinical responsibilities (but without national recognition) must be based upon clear and convincing evidence that the candidate has demonstrated a level of excellence and a record of impact beyond the usual faculty member’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 their own discipline. Another piece of evidence could be the development of new and innovative approaches to the clinical management of challenging clinical problems. A faculty member who appears to qualify for this special circumstance should have supportive annual evaluations (and a more detailed review for reappointment in the penultimate year of contract).

For the Department of Ophthalmology & Visual Sciences, the following will constitute specific accomplishments characteristic of individuals worthy of promotion to associate professor on the Clinical Excellence Pathway in the areas of teaching, research and service:

##### **Teaching (M.D., D.O. or equivalent)**

1. Evidence of persistent commitment to and engagement in teaching
2. Evidence of involvement in teaching of students and residents, with positive evaluations
3. Evidence of development of educational materials for patients, or documented contribution to patient education.
4. Evidence of involvement in teaching of peers, with positive evaluations.

(To reach the associate professor level the faculty member is expected to have at least one of these accomplishments)

**Research and Scholarship (M.D., D.O or equivalent)**

1. Evidence of participation in clinical research including but not limited to enrollment of patients in clinical trials available in the medical center or national studies, publication of practice guidelines or publication of clinical innovation.
2. Evidence of establishing a data base on patients for the purpose of monitoring quality and outcomes in the physician's area of practice.
3. Evidence of publications (including case reports) and presentations at a national level (including descriptions of techniques or procedures), or other meritorious scholarly activities.

(To reach the associate professor level, the faculty member is expected to achieve one of these accomplishments.)

**Service (M.D., D.O. or equivalent)**

Evidence of commitment to the provision of service to the institution, the community or the profession, as reflected by:

1. Completion of specialty Board certification.
2. Maintenance of certification.
3. Maintenance of appropriate licensure and medical staff appointment(s).
4. Evidence of a high-level of clinical competence as demonstrated by 95% compliance with specialty specific measures
5. Evidence of a high level of patient service as demonstrated by patient satisfaction scores at or above the 90th percentile.
6. Active participation in divisional or Departmental activities including faculty meetings, morbidity and mortality conferences and grand rounds
7. Other meritorious community service activities
8. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors (Appendix B).
9. Evidence of clinical excellence:
  - a. Patients from outside our primary service area regularly are referred specifically to, or seek care from the faculty member
  - b. Evidence that a faculty member is regularly consulted by physicians from outside our primary service area

- c. Evidence that physicians from other medical centers come to OSU for training specifically by the faculty member, or request proctoring at their home institution by the faculty member
- d. Evidence that a faculty member has developed a new program or led improvements in an existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted by other institutions or practices.
- e. Evidence that a faculty member has developed clinical innovations that have been adopted by other physicians within or outside the University.
- f. Evidence that the faculty member regularly participates as an instructor in local or regional courses or seminars.
- g. Selection for Best Doctors lists.

(To reach the associate professor level, the faculty member is expected to achieve accomplishments in seven areas including #1, #2 (if applicable), #3, #4, #5, #6, #8 and 3 of 7 sub points in #9.)

#### **4F Professor, Clinical Excellence Pathway**

The awarding of promotion to the rank of Professor in the Clinical Excellence Pathway must be based upon clear and convincing evidence that that the candidate's work has developed a national impact and consistent recognition for clinical excellence and innovation since being appointed to the rank of Associate Professor. For promotion to Professor, it is important for the candidate to have a high level of national reputation including referrals for clinical service, or involvement in national programs or specialty associations.

Metrics may include consistent rankings among the Nation's elite in the Castle and Connolly or U.S. News Physicians Survey or similar (Best Doctors, Inc.) or clear evidence that they receive patient referrals from throughout the State of Ohio or national awards for clinical excellence and innovation which are clear indicators of achievement.

For the Department of Ophthalmology & Visual Sciences, the following will constitute specific accomplishments characteristic of individuals worthy of promotion to professor on the Clinical Excellence Pathway in the areas of teaching, research and service:

#### **Teaching (M.D., D.O. or equivalent)**

- 1. Evidence of persistent commitment to and engagement in teaching
- 2. Evidence of involvement in teaching of students and residents, with positive evaluations
- 3. Evidence of development of educational materials for patients, or documented contribution to patient education.
- 4. Evidence of involvement in teaching of peers, with positive evaluations.

(To reach the professor level the faculty member is expected to have at least one of these accomplishments)



**Research and Scholarship (M.D., D.O or equivalent)**

1. Evidence of participation in clinical research including but not limited to enrollment of patients in clinical trials available in the medical center or national studies publication of national practice guidelines or publication of clinical innovation.
2. Evidence of establishing a data base on patients for the purpose of monitoring quality and outcomes in the physician's area of practice.
3. Evidence of publications (including case reports) and presentations at a national level (including descriptions of techniques or procedures), or other meritorious scholarly activities.

(To reach the professor level, the faculty member is expected to achieve two of these accomplishments.)

**Service (M.D., D.O. or equivalent)**

Evidence of commitment to the provision of service to the institution, the community or the profession, as reflected by:

1. Completion of specialty Board certification.
2. Maintenance of certification.
3. Maintenance of appropriate licensure and medical staff appointment(s).
4. Evidence of a high-level of clinical competence as demonstrated by 95% compliance with specialty specific measures
5. Evidence of a high level of patient service as demonstrated by patient satisfaction scores at or above the 90th percentile since promoted to associate professor
6. Recognition in the Castle and Connolly or U.S. News Physicians Survey or similar (Best Doctors, Inc.) etc. or clear evidence that they receive patient referrals from throughout the State of Ohio or national awards for clinical excellence and innovation are clear indicators of achievement. (see #11)
7. Active participation in divisional or Departmental activities including faculty meetings, morbidity and mortality conferences and grand rounds
8. Other meritorious community service activities
9. Demonstrated adherence to the values contained in the Statement of Professional Ethics of the American Association of University Professors (Appendix B).
10. Evidence of national reputation of clinical excellence:
  - a. Patients from outside our primary service area regularly are referred specifically to, or seek care from the faculty member

- b. Evidence that a faculty member is regularly consulted by physicians from outside our primary service area
- c. Evidence that physicians from other medical centers come to OSU for training specifically by the faculty member, or request proctoring at their home institution by the faculty member
- d. Evidence that a faculty member has developed a new program or led improvements in an existing program and that subsequent to those innovations the success of the program has materially improved, or the program has been duplicated or adopted by other institutions or practices.
- e. Evidence that a faculty member has developed clinical innovations that have been adopted by other physicians within or outside the University.
- f. Evidence that the faculty member regularly participates as an instructor in local or regional or national courses or seminars.
- g. Selection for Best Doctors lists.

(To reach the professor level, the faculty member is expected to achieve accomplishments in nine areas including #1, #2 (if applicable), #3, #4, #5, #6, #7, #9, # and 5 of 7 sub points in #10.)

## **5. Promotion of Research Faculty**

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

### **a. Research Associate Professor**

Candidates for promotion to Research Associate Professor are expected to demonstrate the beginnings of national recognition of their expertise. This may be reflected by (but not limited to) invitations to review manuscripts or grant applications, invitations to lecture at scientific societies or other universities, consultation with industry or governmental agencies, requests for collaboration from other universities, request to serve in central roles on multi-center studies, etc.

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 95% salary recovery. Research faculty typically serve as Co-Investigators, and independent extramural funding (Principal Investigator or Multiple Principal Investigator) is not required.

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

## **6. Associated Faculty Promotion**

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

### **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 clinician educator pathway, except that the decision of the Dean is final.

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

For uncompensated associated faculty, promotion should reflect contributions to the 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 department 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.

Procedures for promotion of uncompensated associated faculty:

1. Submission of an updated CV
2. 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.
3. Teaching evaluations if available
4. Letter from the committee of eligible faculty including the vote
5. Letter from the chair

## **B Procedures**

The Department's procedures for promotion and tenure and promotion reviews are fully consistent with those set forth in Faculty Rule [3335-6-04](#) and the Office Academic Affairs annually updated procedural guidelines for promotion and tenure reviews found in Volume 3 of the [Policies and Procedures Handbook](#). The following sections, which state the responsibilities of each party to the review process, apply to all faculty in the department.

### **1. Tenure-Track, Clinical, and Research Faculty**

#### **a Candidate Responsibilities**

The responsibilities of the candidate are as follows:

- To submit a complete, accurate dossier fully consistent with Office of Academic Affairs guidelines. Candidates are fully responsible for the contents of the dossier and should not sign the Office of Academic Affairs Candidate Checklist without ascertaining that they have fully met the requirements set forth in the Office of Academic Affairs core dossier outline including, but not limited to, those highlighted on the checklist. While the Promotion and Tenure Committee 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 him or her.

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 less, to present.

The time period for scholarship documentation to be included in the dossier is the entire duration of the faculty's academic career (including residency or post-doctoral training). For faculty being considered for promotion at the rank of associate professor, the weight of the review is from the date of the initial faculty appointment (including time on faculty at another institution) to the present. For faculty being considered for promotion at the rank of professor, the weight of the review is from the date of the dossier submission for the promotion to associate professor to present. All scholarship outcomes will be reviewed for increasing independence over time. There should also be an increasing trajectory of significant scholarly outcomes over time

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 to present.

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 department review only, unless reviewers at the college and university levels specifically request it.

Faculty members preparing their dossiers for promotion and/or tenure review should consult [Volume 3](#) of OAA's policies and procedures handbook to ensure that all required documentation is included. It is the responsibility of the department to evaluate and verify this documentation. The following paragraphs provide suggested standards for documenting excellence in Teaching, Research and Scholarship, and Service.

### **Teaching**

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

All Tenure Track and Clinical faculty members in the College of Medicine must be engaged in teaching, development of the Department's and College's academic programs, and mentoring of students, residents and fellows. Evidence of effective teaching must be demonstrated by documentation of teaching activities over a sustained period of time.

Evidence for effective teaching may be collected from multiple different sources including students, 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. Faculty members may supplement the required assessment tool with others if they wish. Students must be provided an opportunity to assess the instructor and course using the required assessment tool in every regular classroom course. Guidelines must be established for the frequency with which required assessment tools should be administered in other types of instructional settings such as outpatient clinics, inpatient services, and the operating room. Regardless of the instructional setting, effort should be made to obtain evaluations from the largest number of students 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, documentation of teaching for the promotion dossier will include, for the time period since the last promotion or the last five years, whichever is less:

- Cumulative SEI reports (Student Evaluation of Instruction computer-generated summaries prepared by the Office of the University Registrar) for every formal class
- Medical student evaluations (e.g. Vitals)
- Resident evaluations (e.g. MedHub)

- Peer evaluation of teaching reports as required by the department's peer evaluation of teaching program (details provided in the Appendix to this document)
- Formal evaluations obtained from Professional courses for CME credit.
- 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.

### **Scholarship**

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

All tenure-track, clinical, and research faculty members 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.

Scholarship is broadly defined including all aspects of basic science, clinical research, including clinical trials and research based on cases or case series, educational outcomes research, development of academic modules, entrepreneurship, etc. The nature of scholarship should be pertinent to the faculty member's track and pattern of responsibilities.

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.

### **Service**

Service is broadly defined to include administrative service to the University, exemplary patient care, professional service to the faculty member's discipline, and the provision of professional expertise to public and private entities beyond the University. In the College of Medicine, a candidate's service contributions must be demonstrated to be of high quality and effectiveness. All Tenure-track and Clinical faculty members must contribute to service as evidenced by documentation of contributions over a sustained period of time.

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 if desired 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, in and of itself it is insufficient for meeting the service requirement for Tenure- track and Clinical Faculty.

- To submit a copy of the APT document under which the candidate wishes to be reviewed. Candidates may submit their Department'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 Department.

- To review the list of potential external evaluators developed by the department chair and the Promotion and Tenure Committee. The candidate may add no more than three additional names, but is not required to do so. The candidate may request the removal of no more than two names, providing the reasons for the request. The department chair decides whether removal is justified. (Also see External Evaluations below.) Under no circumstances should a candidate solicit evaluations from any party for purposes of the review.

#### **b Promotion and Tenure Committee Responsibilities**

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

- To review this document annually and to recommend proposed revisions to the faculty.
- To consider annually, in spring semester, requests from faculty members seeking a non-mandatory review in the following academic year and to decide whether it is appropriate for such a review to take place. Only professors on the committee may consider promotion review requests to the rank of professor. A simple majority of those eligible to vote on a request must vote affirmatively for the review to proceed.
  - 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 department chair, or any other party to the review to making a positive recommendation during the review itself.
- Annually, in late spring through early autumn 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 Department 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 their 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 Department 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 Department Chair in the case of joint appointees from another tenure-initiating unit. The full eligible faculty does not vote on these cases since the department's recommendation must be provided to the other tenure-initiating unit substantially earlier than the committee begins meeting on this department's cases.

#### **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.
- The evaluation by the eligible faculty is not advisory, but rather represents an independent review.
- The Eligible Faculty Committee chair will write a letter to the department chair reporting the vote and summarizing the discussion of the eligible faculty. This letter will be evaluative as well as descriptive and contextualize the vote, including any "minority opinions" as appropriate. In the event the candidate is on the tenure track, this letter must be written by a tenured faculty at the appropriate rank per University Faculty Rules.

#### **d Department Chair Responsibilities**

The responsibilities of the Department 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 department must ensure that such questions are asked of all applicants in a non-discriminatory manner.) For tenure-track assistant professors, the department chair will confirm that candidates are eligible to work in the U.S. Candidates who are not U.S. citizens or nationals, permanent residents, asylees, or refugees will be required to sign an [MOU](#) at the time of promotion with tenure.
- **Late Spring Semester:** To solicit external evaluations from a list including names suggested by the Promotion and Tenure Committee, the chair, and the candidate. (Also see External Evaluations below.)
- To solicit an evaluation from a TIU head of any TIU 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, the Department Chair 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 department review process:
  - of the recommendations by the eligible faculty and department chair
  - of the availability for review of the written evaluations by the eligible faculty and department chair
  - of the opportunity to submit written comments on the above material, within ten calendar days from receipt of the letter from the department chair, for inclusion in the dossier. The letter is accompanied by a form that the candidate returns to the department chair, indicating whether or not he or she expects to submit comments.

- To provide a written response to any candidate comments that warrant response for inclusion in the dossier.
- To forward the completed dossier to the college office by that office's deadline, except in the case of associated faculty for whom the department chair recommends against promotion. A negative recommendation by the department chair final in such cases.
- 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 department chair's independent written evaluation and recommendation, to the TIU head of the other tenure-initiating unit by the date requested.

## **2. Procedures for Associated Faculty**

Procedures for the promotion of associated faculty are described in Section VI.A.6 above.

## **3. External Evaluations**

External evaluations of scholarly activity and research are obtained for all promotion reviews other than associated faculty.

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

- Is written by a person highly qualified to judge the candidate's scholarship (or other performance, if relevant) who is not a close personal friend, research collaborator (no shared publications in the last five years, unless part of a very large multi-centered project with a large number of authors), 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. External evaluators must be able to provide an objective evaluation of the scholarly work. Faculty being considered for promotion on the clinical excellence pathway may have evaluators from this university or from local/regional experts, including a minority of evaluators who are not faculty members, but whose positions afford them the ability to comment on the impact of the candidate's portfolio of professional activities. Candidates must be provided the opportunity to propose potential external reviewers and to review the proposed list of reviewers to identify potential conflicts.
- 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.
- In the event that a unit is unable to obtain the required five external evaluations, the department must document its efforts, noting the individuals who were contacted, how they were contacted, and the dates and number of times they were contacted. The department is to notify the college as soon as it becomes apparent that it will not be able to obtain the required letters in time for the meeting of the eligible faculty. The lack of five external letters will not stop a mandatory review from proceeding, but will halt a non-mandatory review from proceeding unless the candidate, P&T Chair, and the

department chair all agree in writing that it may proceed and agree that it will not constitute a procedural error.

Since the department 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 Promotion and Tenure (*or Eligible Faculty*) Committee, the department chair, and the candidate. If the evaluators suggested by the candidate meet the criteria for credibility, a letter is requested from at least one of those persons. Faculty Rule [3335-6-04](#) requires that no more than half the external evaluation letters in the dossier be written by persons suggested by the candidate. In the event that the person(s) suggested by the candidate do not agree to write, neither the Office of Academic Affairs nor this department requires that the dossier contain letters from evaluators suggested by the candidate.

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

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

## **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 significant clinical responsibilities, 6th year for those without significant clinical responsibilities) is considered final. However, in rare instances in which there is substantial new information regarding the candidate's performance that is relevant to the reasons for the original negative decision, a seventh (or twelfth) year review may be conducted. The request for this review must come from the eligible faculty and the head of the Department, and may not come from the faculty member

himself/herself. Details of the criteria and procedures for a review in the final year of probation are described in University Rule [3335-6-05](#) (B).

If a terminal year review is conducted by a Department and the College, it will be made consistent with that Department of Ophthalmology & Visual Science's Appointments, Promotion and Tenure document, and other relevant policies, procedures, practices, and standards established by: (1) the College, (2) the Rules of the University Faculty, (3) the 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**

College of Medicine views teaching broadly and it includes teaching in the classroom, at the bedside, or in the laboratory. If appropriate, faculty in the COM can make use of the Student Evaluation of Instruction (eSEI) or can use any other appropriate method of student evaluation of their teaching. If using the eSEI, the faculty member must leave the classroom during the time allotted for completing the evaluation. If using other forms of evaluation, the faculty member should not be present during the students' completion of the evaluation form or other online evaluation systems. Faculty are also reviewed regularly by residents using appropriate online evaluation systems. The faculty member should reiterate to students that the feedback provided in the evaluations is used both for performance reviews and to provide feedback that can be taken into account in future teaching.

### **B Peer Evaluation of Teaching**

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

The suggested process for ensuring that all faculty members annually receive peer evaluation is: annually the Department Chair appoints a Peer Review of Teaching Committee. The term of service is one year, with reappointment possible.

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

- to review the teaching of probationary tenure-track and clinical faculty at least once per year during each year of service before the commencement of the mandatory tenure review, 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 nonprobationary associate 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 four years with the goal of assessing teaching at all the levels of instruction to which the faculty member is assigned during the year of the review.
- To review, upon the department chair's request, the teaching of any faculty member not currently scheduled for review. Such reviews are normally triggered by low or declining student evaluations or other evidence of the need for providing assistance in improving teaching.

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

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

Regularly scheduled peer teaching evaluations (the first three situations listed above) are comprehensive and should include, in addition to class visitation, review of course syllabi and related instruction materials. In the case of peer review for the purposes of promotion and tenure reviews, the class visitation is conducted by one or more senior peers whom the promotion and tenure chair has identified in consultation with the candidate. The peer reviewer should meet with the candidate to establish a time for the visit and to understand the goals of the course and the candidate's teaching philosophy. If possible, the peer reviewer should attend two different class sessions over the course of the semester.

In observing the course and reviewing the syllabus and other materials, the peer reviewer should focus on such issues as the appropriateness of the course design given the goals and level of the course, the quality and effectiveness of the instructional materials and assessment tools, and the appropriateness of the approach relative to current disciplinary knowledge. At the conclusion of the class visits, the reviewer meets with the candidate to give feedback and also submits a written report to the department chair, copied to the candidate. The candidate may provide written comments on this report and the reviewer may respond if they wish. The reports are included in the candidate's promotion and tenure dossier.

## X Appendices

### A. GLOSSARY OF TERMS

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

**APT – Appointments, Promotion and Tenure**

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

**Associated** – faculty that are not tenure-track, clinical or research. These faculty fall into many sub-categories. (See also Clinical Associated Faculty, Adjunct Faculty, and full-time Paid Associated)

**Clinical Associated Faculty** – 0% FTE community physicians that participate in the education and training of medical students and residents. (See also **Full-time Paid Associated Faculty**)

**Clinical Appointments** – the faculty for physicians who primarily engage in clinical teaching and practice.

**Courtesy Appointment** – a no salary associated appointment for a faculty member from another academic department within the University. The title associated with the no salary appointment is always the same as the position.

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

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

**Exclusion of Time** – the ability to have up to three years taken off the time clock toward achieving tenure

**Faculty** – the College of Medicine has four types of faculty appointments: Tenure-track, Clinical, Research, and the associated faculty

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

**Full-time Paid Associated Faculty** – 50-100% FTE physicians working within (and being paid solely by) the OSU Health System. (See also **Clinical Associated Faculty**)

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

**Mandatory review** – a required 4<sup>th</sup> year, 8<sup>th</sup> year, tenure review, or reappointment review

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

**Non-mandatory review** – voluntary promotion or tenure review

**OAA – Office of Academic Affairs**

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

**Penultimate year** – the next to last year of a contract, used to determine required clinical and research review dates

**Prior Service Credit** – Application of years of service at another institution in one rank applied to another rank when a faculty member is promoted. For probationary Tenure-track appointments, prior service credit shortens the length of time that a faculty member has to achieve tenure by the amount of the credit and must be approved by the eligible faculty, the chair, the dean, and OAA.

**Probationary period** – the length of time in which a faculty member on the Tenure-track has to achieve tenure (6 years for faculty without clinical service, 11 years for faculty with significant patient clinical service responsibilities). It is also defined as the first contract for faculty on Clinical or Research appointments.

**Promotion and Tenure Committee** – the sub-committee of the eligible faculty that assists with the promotion and tenure process.

**Reappointment Review** – the review of a Clinical, Research, or Associated faculty member in the penultimate year of their contract to determine if the contract will be renewed.

**Research Appointments** – the faculty for basic scientists who engage exclusively in research-based scholarship

**SEI – Student Evaluation of Instruction**

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

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

**TIU – Tenure Initiating Unit**, usually synonymous with Department. Centers and Institutes are not Tenure Initiating Units

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



**B. 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.